5/S

San Francisco Public Library

Government Information Center
San Francisco Public Library
100 Larkin Street, 5th Floor
San Francisco, CA 94102

REFERENCE BOOK

Not to be taken from the Library

City and County of San Francisco

Office of the Controller – City Services Auditor

SAN FRANCISCO MUNICIPAL TRANSPORTATION AGENCY:

The Agency Must Improve Staffing Planning and Training to Meet Its Need for Transit Operators

GOVERNMENT
DOCUMENTS DEPT

SEP 10 2013

SAN FRANCISCO
PUBLIC LIBRARY

September 10, 2013

OFFICE OF THE CONTROLLER
CITY SERVICES AUDITOR

The City Services Auditor Division (CSA) was created in the Office of the Controller through an amendment to the Charter of the City and County of San Francisco (City) that was approved by voters in November 2003. Charter Appendix F grants CSA broad authority to:

- Report on the level and effectiveness of San Francisco's public services and benchmark the City to other public agencies and jurisdictions.
- Conduct financial and performance audits of city departments, contractors, and functions to assess efficiency and effectiveness of processes and services.
- Operate a whistleblower hotline and website and investigate reports of waste, fraud, and abuse of city resources.
- Ensure the financial integrity and improve the overall performance and efficiency of city government.

CSA may conduct financial audits, attestation engagements, and performance audits. Financial audits address the financial integrity of both city departments and contractors and provide reasonable assurance about whether financial statements are presented fairly in all material aspects in conformity with generally accepted accounting principles. Attestation engagements examine, review, or perform procedures on a broad range of subjects such as internal controls; compliance with requirements of specified laws, regulations, rules, contracts, or grants; and the reliability of performance measures. Performance audits focus primarily on assessment of city services and processes, providing recommendations to improve department operations.

CSA conducts audits in accordance with the Government Auditing Standards published by the U.S. Government Accountability Office. These standards require:

- Independence of audit staff and the audit organization.
- Objectivity of the auditors performing the work.
- Competent staff, including continuing professional education.
- Quality control procedures to provide reasonable assurance of compliance with the auditing standards.

For questions regarding the report, please contact Director of City Audits Tonia Lediju at Tonia.Lediju@sfgov.org or 415-554-5393, or CSA at 415-554-7469.

Audit Team: Mark Tipton, Audit Manager
Winnie Woo, Auditor-in-Charge
Kathleen Scoggin, Associate Auditor
Helen Vo, Associate Auditor

3 1223 10055 7009

City and County of San Francisco

Office of the Controller - City Services Auditor

San Francisco Municipal Transportation Agency: The Agency Must Improve Staffing Planning and Training to Meet Its Need for Transit Operators

September 10, 2013

Purpose of the Audit

The audit assessed the efficiency and effectiveness of recruitment, selection, and initial training of transit operators at the San Francisco Municipal Transportation Agency (SFMTA), including whether these processes yield enough operators to fill all vacant positions. The audit assessed the SFMTA's estimate of the number of transit operator positions that must be filled to enable SFMTA to fulfill its service schedule. Initial and refresher training for operators was also evaluated to see if it adequately addresses worker safety to prevent workplace injuries.

Highlights

- The data needed to perform an accurate and meaningful transit operator staffing analysis is held by various SFMTA units that do not collaborate to determine an adequate staffing level. Also, because it uses a relief factor that is too low (20 percent instead of the audited 27 percent) and does not account for attrition (8 percent yearly), SFMTA's staffing analysis for transit operators significantly underestimates the transit operator shortage. As a result, SFMTA cannot accurately estimate the number of transit operators it needs to employ to meet its current public transit schedule while minimizing unscheduled overtime.
- A recent SFMTA analysis estimates that 1,983 full-time equivalent operators are needed to fulfill the service schedule, which falls 283 (12.5 percent) short of the audit's estimate of 2,266 full-time equivalent operators needed.
- The Human Resources, Transit, and Finance divisions must work together to more accurately estimate the number of transit operators SFMTA needs. SFMTA's goal should be to ensure that the number of operators hired yields enough operators to fill all positions needed to deliver planned levels of service with minimal overtime.
- The unit that trains new transit operators lacks enough instructors, buses, and an off-street skills course location that is consistently available, making this unit the bottleneck in the process to hire and train enough transit operators to fill all vacancies and limiting its efficiency and effectiveness. When training buses are late or do not arrive, trainees and instructors must wait and behind-the-wheel practice time is reduced. Three nine-week training classes were canceled in 2013 due to a shortage of instructors.
- The new operator training's graduation rates and content are reasonable, the hours of training provided greatly exceed state minimum requirements, and the training's duration is on par with similar programs at other California transit agencies.
- Although trainees generally rate the new operator training as satisfactory, line training and worker safety training can be improved.

Recommendations

The report includes 18 recommendations for the SFMTA to improve the hiring and training of transit operators, including that SFMTA should:

- Base its budget for transit operator positions on an integrated staffing analysis that uses accurate estimates of leave and attrition and is based on service schedule data.
- Ensure that the Human Resources, Transit, and Finance divisions collaborate to determine the appropriate number of budgeted transit operator positions needed to meet transit service needs.
- Fill vacant instructor positions in the Training unit so new operator training classes can occur more frequently, allowing two such classes to occur simultaneously.
- Ensure that line instructors follow correct procedures, including being attentive to their trainees' driving and interactions with passengers at all times.
- Define the qualifications desired for the Training unit's

Some line training instructors were observed not following proper procedure, including by being inattentive.

- SFMTA has difficulty attracting and retaining enough of its well-qualified transit supervisors to serve as training instructors, partly because instructors have no opportunity to earn overtime pay.
- Refresher training for existing transit operators should be improved by adding behind-the-wheel training. This will require more instructors and buses.
- The recruitment and selection process provides virtually all of the trainees needed to fill the new transit operator training classes and complies with state requirements but lacks written policy and procedures.
- The time needed to recruit transit operator candidates has been reduced by 60 percent, from ten months to four, but the introduction in 2012 of part-time operator positions increased the number of candidates that must be recruited fivefold, requiring more staff time.

instructors and make the assignment more desirable by working with the Department of Human Resources to establish higher pay for the job.

- Inform transit operator applicants as early as possible that the positions initially will be part-time. This will eliminate as soon as possible more applicants or potential applicants who will not accept part-time work, saving SFMTA staff time.

Copies of the full report may be obtained at:
Office of the Controller • City Hall, Room 316 • 1 Dr. Carlton B. Goodlett Place • San Francisco, CA 94102 • 415.554.7500
or on the Internet at http://www.sfgov.org/controller

CITY AND COUNTY OF SAN FRANCISCO
OFFICE OF THE CONTROLLER

Ben Rosenfield
Controller

Monique Zmuda
Deputy Controller

September 10, 2013

Board of Directors
San Francisco Municipal Transportation Agency
1 South Van Ness Avenue, 7th Floor
San Francisco, CA 94103

Mr. Edward D. Reiskin
Director of Transportation
San Francisco Municipal Transportation Agency
1 South Van Ness Avenue, 7th Floor
San Francisco, CA 94103

Dear Board Chairman Nolan, Board Members, and Mr. Reiskin:

The Office of the Controller's City Services Auditor Division (CSA) presents its audit report of Transit Operator Hiring, Training, and Worker Safety at the San Francisco Municipal Transportation Agency (SFMTA). The key audit objectives were to assess whether:

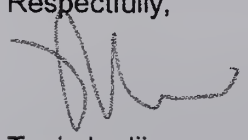
- SFMTA's recruitment, selection, and initial training processes yield enough transit operators to fill all vacant positions and are efficient and effective.
- The duration of the initial training of transit operators is optimal and complies with any applicable state or federal requirements.
- SFMTA's initial and ongoing training of transit operators adequately addresses worker safety, including ergonomics, and wellness to prevent workplace injuries.
- SFMTA's estimate of the number of full-time equivalent transit operator positions that must be filled to enable SFMTA to have enough operators to staff every scheduled transit route every day is accurate and reliable.

The audit found that SFMTA bases its budgeted number of transit operator positions on prior years' staffing levels and incremental changes to service rather than on a data-driven staffing analysis. Also, the data needed to estimate how many transit operators SFMTA needs to employ is held by various units of the agency that do not collaborate to produce an integrated staffing analysis that could inform the agency's budget and its hiring and training goals. Further, because it uses a relief factor that is too low and does not account for attrition, SFMTA's staffing analysis for transit operators underestimates its transit operator shortage. SFMTA hires the number of new transit operators that its Training unit can accommodate, but does not hire enough operators to allow SFMTA to achieve full staffing, which is needed to fulfill the transit schedule with minimal overtime.

The report includes numerous other findings and 18 recommendations for SFMTA to consider. SFMTA's response to the report is attached as an appendix. CSA will work with SFMTA to follow up on the status of the recommendations made in this report.

CSA appreciates the assistance and cooperation that SFMTA staff provided to us during the audit. For questions about the report, please contact me at Tonia.Lediju@sfgov.org or 415-554-5393 or CSA at 415-554-7469.

Respectfully,



Tonia Lediju
Director of City Audits

cc: Mayor
Board of Supervisors
Civil Grand Jury
Budget Analyst
Public Library

TABLE OF CONTENTS

Glossary iii

Introduction 1

Chapter 1 – SFMTA Underestimates How Many Transit Operators It Needs to Fulfill Its Current Service Schedule and Minimize Unscheduled Overtime 13

Finding 1.1. Although SFMTA has the appropriate data, it bases its budgeted transit operator positions on prior year levels rather than on a data-driven staffing analysis. As a result, SFMTA cannot budget for, hire, and train the number of transit operators needed to meet its service schedule 14

Finding 1.2. SFMTA does not use the data-tracking and staffing-related analyses done by its various divisions to perform an integrated analysis that can inform the agency's budget or hiring goals 19

Chapter 2 – SFMTA's Training Unit Lacks the Resources Needed to Effectively Meet Departmental Needs 25

Finding 2.1. SFMTA's Training unit is the bottleneck in the process of filling vacant transit operator positions 25

Finding 2.1.1. The Training unit lacks enough instructors to train new transit operators, causing it to cancel half of its scheduled new operator training classes, due to vacancies, leave, and absenteeism 26

Finding 2.1.2. The Training unit lacks enough buses and a reliable location for new operator training. The Transit division provides the Training unit fewer buses than needed and often delivers them late, and the two units collaborate poorly, all causing reduced student driving hours and inefficiency 31

Finding 2.2. The graduation rates and nine-week duration of SFMTA's new operator training are reasonable 38

Finding 2.3. Line training needs improvement. Some line training instructors do their jobs incorrectly or improperly, and the line training evaluation process is flawed 40

Finding 2.4. Worker safety training is presented inconsistently and should be improved 44

Finding 2.5. SFMTA's transit operator refresher training addresses worker safety but lacks behind-the-wheel instruction 45

Chapter 3 – The Transit Operator Recruitment and Selection Process Adequately Fills New Operator Training Slots but Needs to Improve to Fill All Operator Vacancies 47

Finding 3.1. SFMTA's recruitment and selection process provides virtually all of the trainees needed to fill the new transit operator training classes and complies with state requirements but lacks policy and procedures 47

Finding 3.2. The time needed to recruit transit operator candidates has been reduced by 60 percent, but the introduction of part-time positions increased the number of candidates that must be recruited fivefold 52

Finding 3.3. The Human Resources, Transit, and Finance divisions must work together to more accurately estimate the number of transit operators needed and to ensure that the number of operators hired yields enough operators to fill all positions needed to deliver planned levels of service 55

Appendix – Department Response A-1

GLOSSARY OF TERMS

AC Transit	Alameda-Contra Costa Transit District
City	City and County of San Francisco
CSA	City Services Auditor Division of the Office of the Controller of the City and County of San Francisco
Director	Director of Transportation (SFMTA's chief executive)
DMV	California Department of Motor Vehicles
Finance division	Finance and Information Technology division of SFMTA
GSU	General Sign-up Training
HR division	Human Resources division of SFMTA
HR Operations	Human Resources Operations unit of SFMTA's Human Resources division
LA Metro	Los Angeles County Metropolitan Transportation Authority
MTS	San Diego Metropolitan Transit System
SFMTA	San Francisco Municipal Transportation Agency
Training unit	Training and Instructions unit in the Organizational Development subdivision of SFMTA's Human Resources division
VTA	Santa Clara Valley Transportation Authority
VTT	Verification of Transit Training

Page Intentionally Left Blank

INTRODUCTION

Audit Authority

This audit was conducted under the authority of the Charter of the City and County of San Francisco (City), Section 3.105 and Appendix F, which requires that the City Services Auditor (CSA) of the Office of the Controller conduct periodic, comprehensive financial and performance audits of city departments, services, and activities.

This is CSA's third annual performance audit of a unit of the San Francisco Municipal Transportation Agency (SFMTA). This audit evaluates the hiring and training, including worker safety training, of transit operators. This work is intended to inform SFMTA's leadership as it addresses ongoing fiscal concerns.

Background

In November 1999 the voters of San Francisco amended the City Charter by passing Proposition E, which called for the creation of SFMTA through the consolidation of the San Francisco Municipal Railway and the City's Department of Parking and Traffic. The new agency began on July 1, 2002. In November 2007 voters approved Proposition A, which granted SFMTA regulatory authority over the taxi industry, effective March 1, 2009.

SFMTA is responsible for operating and maintaining the City's network of surface transportation that includes pedestrians, bicycles, transit, traffic, and parking. SFMTA also regulates the taxi industry in San Francisco.

Governance of SFMTA

A seven-member Board of Directors, appointed by the mayor and confirmed by the Board of Supervisors, governs SFMTA. The Board of Directors sets policy for SFMTA, approves its budget and appoints the SFMTA's director of transportation (Director) who serves as the chief executive responsible for day-to-day operations of the agency.

Transit Operators and the Transit Division

Transit operators, employees of SFMTA's Transit division, operate a diverse fleet of diesel buses, electric trolley coaches, alternate fuel vehicles, historic streetcars, modern light rail vehicles, and cable cars providing transit services in the City 24 hours a day, 7

days a week. The mission of the Transit division is to provide safe, reliable, clean, accessible, and convenient public transportation to any destination in San Francisco. The Transit division manages the vehicle fleet at its seven subdivisions. For fiscal year 2012-13, SFMTA had 2,224 budgeted transit operator positions, of which 2,165 (97 percent) were filled as of May 31, 2013. Exhibit 1 shows the breakdown of transit operators in each subdivision of SFMTA's Transit division.

EXHIBIT 1 Vehicle Type and Transit Operator Staffing by Transit Division Unit

Unit	Transit Vehicle	Budgeted FTE[b] Transit Operators[c]	Actual FTE Transit Operators[d]
Cable Car	Cable Cars	165	179[e]
Flynn	Diesel Buses – 60 foot	266	282[e]
Green	Light Rail & Streetcars	353	306
Kirkland	Diesel Buses – 40 foot	326	289
Potrero	Electric Trolley Coaches – 40 & 60 foot	366	323
Presidio	Electric Trolley Coaches – 40 foot	262	283[e]
Training[a]	n/a		23
Woods	Diesel & Hybrid Buses – 30 & 40 foot	486	480
Total		2,224	2,165

Notes:
[a] Staffing of the Training unit is new transit operators in training.
[b] FTE = full-time equivalent
[c] Budgeted staffing is for fiscal year 2012-13 and is rounded.
[d] Actual staffing is as of May 31, 2013.
[e] According to SFMTA, due to staffing shifts between subdivisions, some have actual staffing that is greater than budgeted staffing.

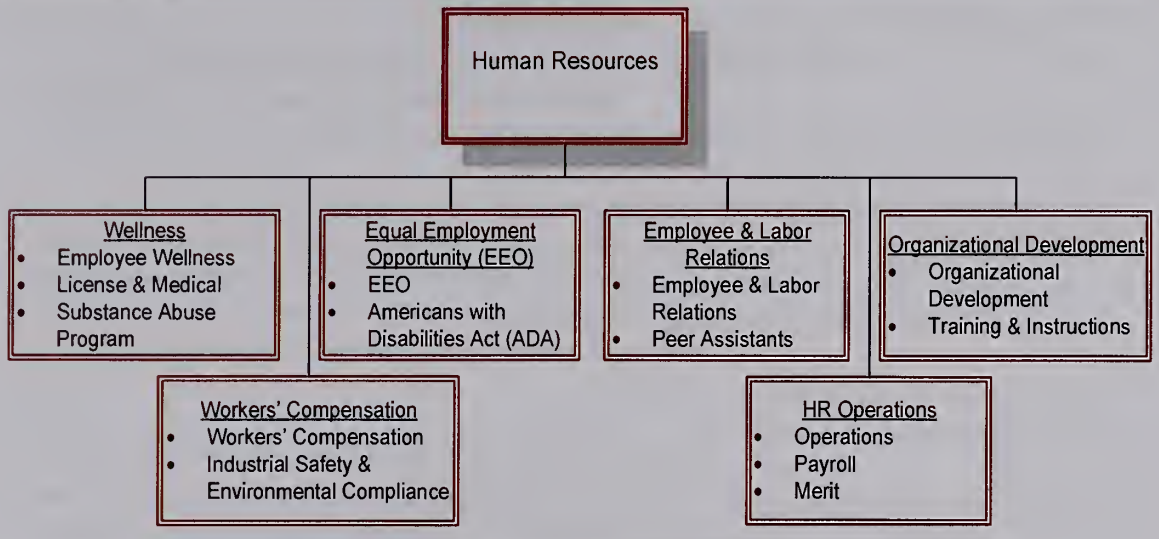
Source: SFMTA Human Resources Operations subdivision.

Budgeted salaries and benefits for transit operators are $212 million for fiscal year 2012-13 and $226 million for fiscal year 2013-14, representing more than 42 percent of SFMTA's $502 million and $523 million budgets for those years, respectively.

Human Resources Division

The mission of SFMTA's Human Resources division (HR division) is to enable SFMTA to accomplish its goals by supplying necessary support services that include recruitment, hiring, employment and labor relations, payroll, organizational development and training, employee wellness, equal employment opportunity, and workers' compensation. Exhibit 2 shows the components of the HR division and its subdivisions.

EXHIBIT 2 Organization of SFMTA's Human Resources Division



Source: SFMTA Human Resources division.

Human Resources Operations Subdivision

The Human Resources Operations subdivision (HR Operations) of the HR division is responsible for the hiring of transit operators. Specifically, the Merit unit within HR Operations is tasked with the following:

- Process, recruit, and hire qualified candidates accurately and efficiently.
- Provide eligible lists for permanent Civil Service recruitments.
- Ensure that hiring meets the needs of programs, projects, and service delivery to customers.

The Operations unit within HR Operations is to:

- Issue referrals and handle various appointments and separations.
- Maintain accurate data collection and recordkeeping.
- Support implementation of Project eMerge.[1]
- Streamline the leave management system to improve attendance.

[1] Project eMerge, managed by the Controller's Office, is the citywide implementation of the Oracle PeopleSoft Human Capital Management system that provides improved human resources, benefits administration and payroll services to the City's active, retired, and future workforce.

The Payroll unit within HR Operations is to:

- Ensure that all employees are accurately paid in a timely manner.
- Manage SFMTA's payroll system interfaces.
- Ensure that all payroll transactions comply with labor agreements and state and federal laws.

Recruitment and Hiring of Transit Operators

For the past several years, HR Operations has administered a continuous hiring process for transit operators. To always have a list of eligible candidates, HR Operations begins the process of creating a new eligible list before the current adopted eligible list expires.[2]

The recruitment process begins with HR Operations posting a job announcement. Applicants apply online by the filing deadline, and then HR Operations screens applicants for minimum qualifications and other requirements before administering the exam. HR Operations offers the exam to all those who qualify. Applicants who pass are eligible candidates who are then ranked on the adopted eligible list. SFMTA requires candidates to be fingerprinted for background checks and, as initial transit operator training classes are scheduled, HR Operations sends recruitment letters to candidates who have passed background checks. These recruitment letters are not offers of employment, but they inform candidates of SFMTA's intent to hire transit operators and ask the candidates to confirm their continued interest.

Candidates that respond to the recruitment letter confirming their continued interest must meet other requirements, such as submitting a current California Department of Motor Vehicles (DMV) driving record, passing a medical exam and drug test, and obtaining a DMV commercial permit.[3] SFMTA offers transit operator positions to candidates that complete and pass all requirements based on their rank on the eligible list.

[2] The purpose of an examination is to provide a list of qualified persons to be considered for employment. Candidates are ranked on an eligible list according to their overall scores in the examination. Vacancies are filled from among the available candidates.

[3] To operate a bus, one must obtain a commercial (Class B) license from the DMV. A Class B permit allows one to be trained by the holder of a valid Class B license.

Organizational Development Subdivision

The mission and duties of the Organizational Development subdivision of the HR division include to:

- Create a work environment where employees are encouraged to bring their hearts and heads to work daily.
- Empower and unleash employees to accomplish SFMTA's goals.
- Conduct vital employee training.
- Conduct an annual employee survey to set forth recommendations to improve and enhance employee relations/internal communications.

Training of Transit Operators

SFMTA's Training and Instructions unit (Training unit) of the Organizational Development subdivision is tasked with training all transit operators. The Training unit offers programs including new operator training, Verification of Transit Training, and accident retraining. Exhibit 3 lists and briefly describes each program.

EXHIBIT 3 SFMTA's Transit Operator Training Programs

Training	Description
New Operator Training	Comprehensive, 44-day (9-week) classroom and road training program that trains new operators on 30-, 40- and 60-foot motor coaches and 40- and 60-foot electric trolley coaches.
Verification of Transit Training (VTT)	Classroom-based, 8-hour course offered Monday through Friday, which satisfies the state's annual requirement for transit operators. Curriculum includes current laws and regulations, defensive driving, accident prevention, emergency procedures, and passenger loading and unloading.
Accident Retraining	Required for operators involved in avoidable accidents, the course consists of four hours of classroom training and four hours of road training.
Line Trainer Training	Operators are trained on how to instruct peer operators in revenue service (vehicles carrying passengers on actual routes). This is a two-day class for motor/trolley coach operators and an 8-hour class for rail operators.
Requalification Training	Required for operators who have been away from work for more than 60 days. Varies from four hours to several days, based on the operator's length of time away from work and years of experience.
Extended Requalification Training	Required for operators who have been on a leave of absence for more than 18 months. Duration of class is tailored for each operator based on her/his performance but is usually 5 to 10 days or more.
New Supervisor Training	General and job-specific training for newly promoted transit supervisors (classification 9139). Consists of 15 days of classroom/field training conducted by the Training unit and an additional 25 or more days of training delivered by the assigned division.
Commercial Driver License Training	Motor coach operation training for SFMTA transit vehicle maintenance employees and transit operators who need to obtain a commercial driver license. Usually 15 days in length, but may vary according to the trainee's experience and ability.
Rail Vehicle Refresher Training	Fulfills the California Public Utilities Commission requirement that rail vehicle operators receive refresher training once every two years. These 8-hour classes are for operators of light rail vehicles, historic streetcars, and cable cars.
Rail Vehicle Requalification Training	An 8-hour class required for rail vehicle operators who have been away from work for more than 60 days.
General Sign-up Training (GSU)	Operators may elect to change vehicle mode once every two years. Current operators are trained on rail, trolley coach, and motor coach vehicles. Duration varies from 2 days to 40 days. Approximately 300 operators participate in this training biennially.

Note: The audit focused on new operator training and did not assess the other types of training listed.

Source: SFMTA Training unit personnel.

New Transit Operator Training

New transit operators hired must complete the new operator training program before they are placed on duty. The new operator training is a 44-day (9-week) program that trains these employees to drive motor and electric coaches. The program fulfills—and greatly exceeds—the DMV requirements[4] for the commercial license, which allows the transit operator to operate a motor or electric coach. The program includes various phases of instruction including:

- Training on a skills course
- Classroom training
- Road training (without passengers)
- Line training (with passengers)

The student-to-instructor ratio is usually three-to-one, with the exception of classroom and line training. The Training unit provides classroom training to all transit operators, usually taught by the Training unit's lead instructors or presenters. Line training occurs toward the end of the program in which transit operators are paired with a line trainer on various routes at the division they will be assigned to if they pass the DMV test, which allows transit operators to obtain their commercial license.

Line trainers are experienced transit operators that meet certain requirements. During line training, the new transit operators drive in-service coaches at various times of the day, including night shifts. At the end of the training program, the transit operators must pass the DMV driving test to obtain their commercial license before beginning duty. Transit operators are allowed two chances to pass the test, and those that do not pass are released from employment.[5] Exhibit 4 details the various phases of the new operator training program.

[4] The DMV requires a minimum of 35 hours of instruction that includes at least 15 hours of classroom instruction and 20 hours of behind-the-wheel training.

[5] A transit operator can also be released from employment at any time during the new operator training program, including before the DMV test, if the instructors find that a trainee is not performing well and not progressing.

EXHIBIT 4 SFMTA's New Transit Operator Training Program

Training Phase	Description	Duration (In Days)	Student-Teacher Ratio
Skills Course	Held on a closed course in the first week of training, this covers maneuvers required to pass the DMV test. On the last day students are given a mock DMV exam by instructors, who are also certified DMV examiners. Students who fail are released.	5	3:1
Classroom	Five classroom days are scattered throughout the training, covering topics such as motor coach orientation, brakes, defensive driving, the rule book, accommodating disabled passengers, and violence and injury prevention. There are two written module exams and a final exam. The last classroom day is the graduation ceremony, but also includes presentations from the City's Employee Assistance Program and Local 250-A of the Transport Workers' Union.	5	Not applicable*
Road Training	Each student takes a turn driving a nonservice bus (without passengers) on city streets, practicing basic to advanced maneuvers: adjusting mirrors, driving on hills, taking curves, stopping at bus stops, securing wheelchairs, and driving freeways.	10	3:1
Mode Change	Students practice driving nonservice buses at the division that they will be assigned to, learning the various routes for that division. Includes some night driving.	10	3:1
Line Training	Operators are assigned to various routes at their division and drive in-service buses (with passengers) under the supervision of a line trainer.	10	1:1
DMV Test	Operators are scheduled to take the DMV test, which includes pretrip inspection, brake test, skills test, and driving test, with training instructors who are certified DMV examiners.	4	Not applicable
	Total Duration	44 days	

Note: *The student-to-teacher ratio during the classroom training depends on class size. The two lead instructors usually teach the classroom training to the entire class.

Source: Auditor analysis based on interviews of SFMTA Training unit personnel.

Worker Safety in New Transit Operator Training

The new operator training program includes various worker safety topics, which are either covered by the training instructors or classroom presentations such as the Violence in the Workplace and Injury and Illness Prevention presentations given by the Industrial Safety and Environmental Compliance unit of the Worker's Compensation subdivision of SFMTA's HR division. Also, SFMTA contracts with BackFirst, which provides transit

operators with advice on injury prevention, stress reduction, exercise, and nutrition.

Over the past three years, the Training unit reports that it has held new operator training classes based on the available resources and need for transit operators.

Objectives

The objectives of the audit were to determine:

1. Whether SFMTA's recruitment, selection, and initial training processes yield enough transit operators to fill all vacant positions.

2. Whether SFMTA's transit operator recruitment, selection, and initial training processes are efficient and effective. This included to determine:

    a. Whether transit operators' graduation rate from initial training is consistent with those of peer agencies.
    b. The major points at which (and reasons that) transit operator candidates and transit operators in their first 19 months of employment are lost or eliminated.

3. Whether the duration of the initial training of transit operators is optimal and complies with any applicable state or federal requirements.

4. Whether SFMTA's initial training of transit operators adequately addresses worker safety, including ergonomics, and wellness to prevent workplace injuries.

5. Whether ongoing/refresher training of transit operators adequately addresses worker safety (including ergonomics) and wellness to prevent workplace injuries.

6. The accuracy and reliability of SFMTA's estimate of the number of full-time equivalent transit operator positions that must be filled to enable SFMTA to have enough operators to staff every scheduled transit route every day. (This estimate, known to SFMTA as "Operators Required to Operate the Full SFMTA Schedule dated 12/13/12" is referred to in this audit as a relief factor analysis.)

Scope and Methodology

The audit assessed the hiring and training, including related to worker safety, of transit operators for fiscal years 2011-12 and 2012-13.

To conduct the audit, the audit team:

- Reviewed key documents related to SFMTA's transit operators, including the labor agreement between SFMTA and Transport Workers' Union, Local 250-A.
- Interviewed SFMTA staff and management personnel to understand controls, procedures and common practices in the hiring and training of transit operators.
- Reviewed applicable laws and regulations regarding the training of transit operators.
- Surveyed five other jurisdictions in California for relevant data related to transit operators hiring and training: Los Angeles County Metropolitan Transportation Authority (LA Metro); Alameda-Contra Costa Transit District (AC Transit); Santa Clara Valley Transportation Authority (VTA); San Diego's Metropolitan Transit System (MTS); and Sacramento Regional Transit District.
- Conducted a survey of transit operators on their hiring and training experience.
- Analyzed the vacancy trend for transit operators over two fiscal years.
- Reviewed the Transit division's staffing needs analysis for accuracy and reasonableness.
- From payroll data extracted from Trapeze, SFMTA's transit operator scheduling and timekeeping software, determined the actual leave percentage for transit operators for an 18-month period and determined operator staffing needs based on the actual leave percentage.
- Reviewed transit operator attrition data and determined staffing needs based to fulfill vacancies due to attrition.
- Assessed the overall efficiency and effectiveness of the recruitment and selection process for transit operators.

- Reviewed initial training materials.
- Reviewed the new transit operators' graduation rate and determined the major points and primary reasons candidates are lost or eliminated during training.
- Reviewed the Training unit's completed transit operator survey questionnaires.
- Reviewed materials for the ongoing training of transit operators.
- Observed various phases of transit operator training, including the skills driving course, line training, and DMV license test.

Statement of Auditing Standards

This performance audit was conducted in accordance with generally accepted government auditing standards. These standards require planning and performing the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for the findings and conclusions based on the audit objectives. CSA believes that the evidence obtained provides a reasonable basis for the findings and conclusions based on the audit objectives.

Page Intentionally Left Blank

CHAPTER 1 – SFMTA Underestimates How Many Transit Operators It Needs to Fulfill Its Current Service Schedule and Minimize Unscheduled Overtime

Summary

SFMTA cannot accurately estimate the number of transit operators it needs to employ to meet its current public transit schedule while minimizing unscheduled overtime because it has not performed a meaningful staffing analysis. The data necessary to perform an accurate and meaningful transit operator staffing analysis is held by various SFMTA units that do not collaborate to determine an adequate staffing level. Furthermore, the staffing analysis SFMTA has done underestimates its transit operator shortage. SFMTA's Transit division performs some analysis, but it cannot meaningfully inform the department's budget for operator positions because it relies on an imprecise relief factor and does not account for attrition.

Without an accurate understanding of its staffing shortages, SFMTA cannot set hiring and training goals to achieve optimal staffing levels or include an appropriate number of transit operator positions in its budget. As long as the budget is based on a staffing analysis that underestimates needs, the operator shortage will continue to carry over from year to year. The operator shortage, which CSA calculates at 100.66 full-time equivalent operators, negatively impacts:

- Services provided to the public due to canceled runs.[6]
- SFMTA's operating costs due to excessive overtime.
- Operators' ability to use leave.

[6] A run is the assignment that one transit operator fulfills for a specific route during one shift. The run usually covers a shift of approximately eight hours and requires the operator to travel the route multiple times. To meet the transit service schedule, each route is made up of multiple runs completed by different operators.

Finding 1.1

Although SFMTA has the appropriate data, it bases its budgeted transit operator positions on prior year levels rather than on a data-driven staffing analysis. As a result, SFMTA cannot budget for, hire, and train the number of transit operators needed to meet its service schedule.

SFMTA has a self-perpetuating cycle of budgeting for, hiring, and designing a work schedule around a number of transit operators insufficient to meet its service schedule. As a result, SFMTA has budgeted for 42.53 fewer operator positions than it needs and has 100.66 fewer full-time equivalent transit operators than it needs.

SFMTA cannot accurately estimate the number of transit operators it needs to operate its current service schedule effectively. Specifically:

- A staffing analysis performed by the Transit division estimates that 1,983.40 full-time equivalent operators are needed to fulfill the service schedule.
- The Transit division's estimate falls short of CSA's estimate of 2,266.03 full-time equivalent operators by 282.93 (see Finding 1.2).
- Although the 2,223.50 full-time equivalent operator positions in SFMTA's budgets for fiscal years 2012-13 and 2013-14 exceed the Transit division's estimate of operators needed, the number of budgeted positions still falls short of CSA's estimate of operators needed by 42.53 positions.

According to SFMTA management, the department bases the number of budgeted positions on the prior year's level and available funding, with incremental adjustments each year. SFMTA indicated that the last time it based its budgeted operator positions on a staffing analysis was approximately seven years ago. According to Finance and Information Technology division (Finance division) management, since then, the department has seen higher rates of absenteeism and a slower rate of hiring than that analysis had anticipated.[7]

As stated above, CSA estimates that the department's budget is too low by 42.53 full-time equivalent operator positions. *Combined with the 58.13 budgeted, but vacant positions, CSA estimates the staffing shortage at 100.66 full-time equivalent transit operators.*

[7] Finance division management indicated that the slower than anticipated rate of hiring was due, in part, to higher than anticipated attrition.

The Transit division is forced to craft a work schedule that somehow meets the planned level of service with too few operators. The result is more overtime.

As discussed in Chapter 3, SFMTA's Human Resources division is effective in hiring qualified operators. However, the division should not hire more operators than its Training unit can accommodate and cannot hire more than the total number of budgeted positions.[8] Because SFMTA's number of budgeted operator positions is largely based on the prior year's staffing level rather than a data-driven staffing analysis, even if all budgeted operator positions are filled, shortages carry over from year to year. Without being able to hire more operators, the Transit division must continue to create a work schedule that somehow meets the department's commitment to deliver the planned level of transit services with too few operators.[9]

SFMTA builds the work schedule[10] for transit operators to meet the transit service schedule. The service schedule is the department's commitment to the public of when, how frequently, and where SFMTA transit vehicles will provide service. According to Transit division staff, the work schedule for transit operators is less than ideal: the schedule cannot focus on minimizing costs because it must work around the operator shortage. The resulting work schedule depends on operators regularly working overtime to meet the existing service schedule, as discussed below. Because the Finance division uses the existing, insufficient number of operators as a basis for future years' budgets, SFMTA's transit operator shortage continues.

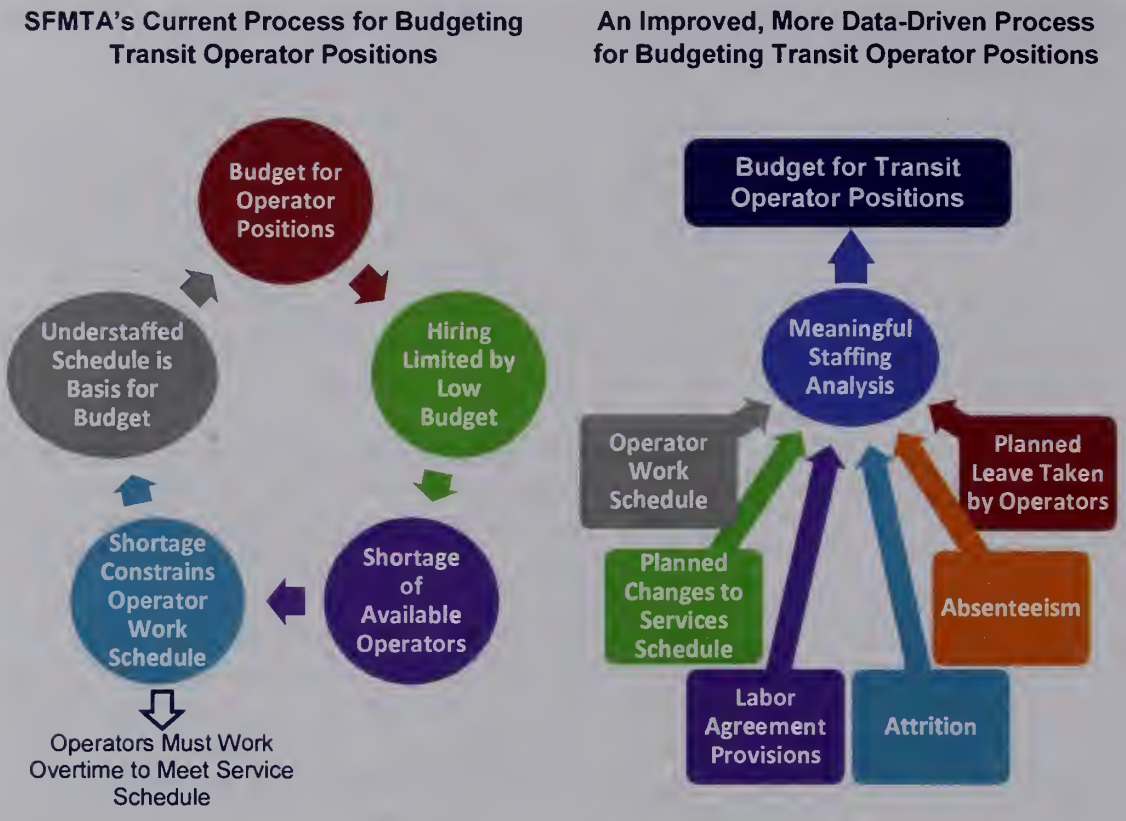
Exhibit 5 compares SFMTA's self-perpetuating cycle of budgeting for and hiring insufficient operators to a more data-driven practice.

[8] Nor can SFMTA fill vacant positions in rail operations with newly hired transit operators because, under state regulations, operators must be trained to drive motor coaches before they can qualify to drive rail vehicles.

[9] SFMTA has too few operators to meet its current service schedule with minimal unscheduled overtime, as discussed in Finding 1.2.

[10] A single run is a scheduled shift for a single transit operator to drive on a specific route. The work schedule, created and maintained by the Transit division, covers all transit operators on SFMTA's 1,676 weekly runs.

EXHIBIT 5 SFMTA's Process for Budgeting Transit Operator Positions Perpetuates the Shortage of Operators


SFMTA's Current Process for Budgeting Transit Operator Positions
Budget for Operator Positions
Hiring Limited by Low Budget
Shortage of Available Operators
Shortage Constrains Operator Work Schedule
Understaffed Schedule is Basis for Budget
Operators Must Work Overtime to Meet Service Schedule
An Improved, More Data-Driven Process for Budgeting Transit Operator Positions
Budget for Transit Operator Positions
Meaningful Staffing Analysis
Operator Work Schedule
Planned Leave Taken by Operators
Planned Changes to Services Schedule
Absenteeism
Labor Agreement Provisions
Attrition

Source: Auditor analysis of SFMTA Transit division's staffing analysis and interviews of SFMTA staff.

Using a staffing analysis based on accurate agency data to inform its budget for transit operator positions would help to ensure that SFMTA can staff its transit service units adequately to meet its transit schedule.

The operator shortage increases SFMTA's operating costs, detracts from public transit services, and decreases operators' ability to take time off.

Employing an insufficient number of transit operators negatively impacts the cost of providing transit services because of increased overtime, the quality of transit services provided to the public, and transit operators' ability to have time off.

Ideally, SFMTA should employ enough transit operators so that there is always (or almost always) an operator available—during his or her regular schedule, not on overtime—to take the run of an operator on leave. If an operator is on leave, SFMTA assigns that operator's run

to a relief operator.[11] Each service unit has some assigned relief operators. In some cases, however, a regularly assigned relief operator is unavailable.

The operator shortage causes increased overtime.

The transit operators' labor agreement permits full-time operators to volunteer as relief operators for overtime pay, usually at the rate of time-and-a-half, on their regular days off. This practice decreases the likelihood of disruption in service to the public, but it also results in operators not getting time off and the department paying more in wages.

The operator shortage causes disruptions in public transit services due to canceled runs, of which there are more than 30,000 per year.

At times, there are no regularly assigned operators or relief operators on voluntary overtime available, necessitating canceling a run (one operator's work on one shift). A canceled run means fewer transit vehicles on a route, so passengers on that route may have to wait longer for less frequent service and ride on more crowded vehicles. Exhibit 6 shows the number of runs canceled because no operator was available and the number of runs worked by operators earning overtime on their regular day off.

EXHIBIT 6 Runs Canceled Due to Lack of Available Transit Operator and Runs Worked by Operators Earning Overtime on Their Regular Day Off by Fiscal Year

	2010-11	2011-12	2012-13	Three-Year Average
Runs canceled due to no available transit operator	11,606	13,011	14,017	12,878
Runs filled by operators earning overtime on their regular day off	19,991	19,323	16,125	18,480
Total runs negatively impacted by operator shortage	31,597	32,334	30,142	31,358

Source: SFMTA, extracted from Trapeze, SFMTA's scheduling and timekeeping software.

Despite the introduction of part-time operators, SFMTA still has too few operators available to cover absenteeism, increasing

A 2010 audit report[12] identified a lack of part-time driver positions and high rates of unscheduled absenteeism, two major factors that contributed to SFMTA transit operators' unusually high rates of overtime. The report

[11] SFMTA refers to relief operators as extra-board operators. These operators go to their assigned service unit and accept assignments for runs where operators call in sick, have planned leave, are attending training, or are otherwise unavailable.

[12] San Francisco Board of Supervisors' Budget and Legislative Analyst, *Limited Scope Performance Audit of the San Francisco Municipal Transportation Agency, Part I,* May 11, 2010.

unscheduled overtime, which cost $4.7 million in the second half of 2012.

specifically identified runs that could be filled by part-time operators at a significant cost savings. Since then, SFMTA has implemented a part-time driver program,[13] but the impact on unscheduled overtime of insufficient operators available to cover absenteeism remains. One member of Transit division management believes absenteeism is compounded by overworked operators' fatigue and restrictions on planned leave due to staffing shortages. Exhibit 7 shows scheduled and unscheduled overtime as a portion of total transit operator pay for a six-month period.

EXHIBIT 7 **SFMTA Transit Operators' Scheduled and Unscheduled Overtime Pay, by Transit Division Unit, July Through December 2012**

Unit	Total Pay	Total Overtime Pay and Percent of Total Pay		Scheduled Overtime Pay and Percent of Total Pay		Unscheduled Overtime Pay and Percent of Total Pay	
Cable Car	$7,510,999	$1,952,292	26%	$1,137,336	15%	$814,956	11%
Flynn	9,829,234	1,413,873	14%	1,033,913	10%	379,960	4%
Green	12,711,010	2,798,357	22%	1,632,143	13%	1,166,214	9%
Kirkland	9,964,530	1,557,291	16%	1,096,976	11%	460,315	5%
Potrero	10,449,634	1,418,728	14%	890,119	9%	528,609	5%
Presidio	10,546,521	1,908,157	18%	1,232,867	12%	675,290	6%
Training	604,025	41,847	7%	1,843	0%	40,004	7%
Woods	15,294,204	1,728,166	11%	1,065,485	7%	662,681	4%
Total	$76,910,157	$12,818,711	16%	$8,090,682	10%	$4,728,029	6%

Source: Auditor analysis of payroll data from SFMTA Human Resources division.

Operator shortages and the resulting negative impact on the public, transit operators, and the agency will persist as long as SFMTA continues to base its budgeted number of operator positions on existing staffing rather than on a data-driven staffing analysis.

Recommendation

1. The San Francisco Municipal Transportation Agency should base its budget for transit operator positions on an integrated, data-driven staffing analysis.

[13] By February 2013 SFMTA had established 66 runs designed for part-time operators and employed 43 active, part-time operators.

Finding 1.2

SFMTA does not use the data-tracking and staffing-related analyses done by its various divisions to perform an integrated analysis that can inform the agency's budget or hiring goals.

SFMTA does not have an accurate, meaningful staffing analysis to determine how many transit operators it needs.

Although SFMTA has the data to perform an accurate and meaningful transit operator staffing analysis based on its current service schedule, the necessary pieces of data are held by various SFMTA units that do not collaborate to produce an integrated and meaningful analysis. Further, the staffing analysis SFMTA has done underestimates its transit operator shortage. Without an accurate understanding of its staffing shortages, SFMTA cannot set hiring and training goals to achieve optimal staffing levels or seek an appropriate number of transit operator positions in its budget.

Exhibit 8 shows how the data that could be used for an integrated staffing analysis is spread among several agency units and divisions.

EXHIBIT 8 **Various Divisions Hold the Data SFMTA Would Need to Perform an Integrated Transit Operator Staffing Analysis**

Transit Operator Work Schedule
Maintained by the Operations and Transit Effectiveness Project subdivision of the Transit Division
Integrated Staffing Analysis
Planned Leave Taken by Operators
Maintained in Trapeze[a]
Planned Changes to Service Schedule
Maintained by the Operations and Transit Effectiveness Project subdivision of the Transit Division
Absenteeism
Maintained in Trapeze[a]
Labor Agreement Requirements
Tracked by the Employee and Labor Relations subdivision of the Human Resources Division
Attrition
Tracked by the Operations subdivision of the Human Resources Division

Notes: [a] Trapeze is SFMTA's scheduling and timekeeping software for transit operators.

Source: Auditor analysis based on interviews of SFMTA staff.

Both the Human Resources and Transit divisions track various pieces of data and perform operator staffing-related analyses to assess and implement their goals.

For example:

- HR Operations monitors the number of hired operators who graduate from training and compares it to attrition rates.

- The Transit division maintains a staffing analysis designed to determine its operator shortages for the purpose of assigning and scheduling operators.

However, both of these divisions operate under the limit imposed by the number of budgeted transit operator positions. The Finance division is responsible for the department's budget but does not coordinate with other SFMTA divisions to perform a transit operator staffing analysis.

SFMTA's transit operator relief factor of 20 percent is too low, causing the agency to underestimate how many operators it needs.

Transit division management's analysis provides reasonable information regarding relative shortages at the various service units. However, it is not suited to the purpose of informing the agency's budget for transit operator positions. The analysis looks at the total number of operators needed to fulfill the department's service schedule and then accounts for operators' use of leave by multiplying that number of needed operators by a relief factor. However, it uses a relief factor that is too low and is not data-driven. A relief factor indicates how many employees it takes to fill a single position for a single shift, taking into account training days, planned leave, absenteeism, and other types of leave. SFMTA uses a relief factor of 20 percent, meaning that for every five operators it needs to fulfill its transit schedule, it must employ six operators to fully execute that schedule.

CSA calculated transit operators' rate of using leave at 27 percent, 7 percent higher than SFMTA's relief factor.

According to SFMTA, 20 percent is an industry standard relief factor. Of the five other transit divisions CSA contacted, three report using a relief factor. The Los Angeles County Metropolitan Transportation Authority (LA Metro) reports using a 20 percent relief factor, while the Alameda-Contra Costa Transit District (AC Transit) and Santa Clara Valley Transportation Authority (VTA) report using a factor of 30 percent. The audit reviewed

18 months' of SFMTA transit operator payroll data and found that transit operator's rate of using leave was 27 percent,[14] significantly higher than the assumed 20 percent. Exhibit 9 shows how SFMTA underestimates its transit operator need due to its use of the inaccurate relief factor.

EXHIBIT 9 SFMTA Underestimates Its Transit Operator Need Because It Uses a Relief Factor That Is Too Low[a]

Unit	Vehicle Type	Total Runs[b]	Operators Needed: Using SFMTA'S Current 20% Relief Factor	Operators Needed: Using 27% Relief Factor Based on Actual Leave	Difference
Full-Time Operators					
Cable Car	Cable Car	145	174	184	10
Flynn	Motor Coach	208	250	264	14
Green	Light Rail and Historic	244	293	310	17
Kirkland	Motor Coach	206	247	262	15
Potrero	Trolley	238	286	302	16
Presidio	Trolley	236	283	300	17
Woods	Motor Coach	333	400	423	23
Total Full-Time		1,610	1,933	2,045	112
Part-Time Operators					
Flynn	Motor Coach	15	18	19	1
Kirkland	Motor Coach	28	34	36	2
Woods	Motor Coach	23	28	29	1
Total Part-Time		66	80	84	4
Total		1,676	2,013	2,129	116
Total Full-Time Equivalent Operators			**1,983.40**	**2,097.92**	**114.52**

Notes:
[a] The relief factor is the multiplier used to determine the number of operators SFMTA must employ to ensure that it has enough to cover its schedule, taking into account time spent on leave and training. A data-driven relief factor would be one based on SFMTA's service schedule.
[b] The number of runs, or scheduled shifts for one operator on one route, in SFMTA's service schedule.
[c] One part-time operator is equivalent to 0.63 full-time operator.

Source: Auditor analysis of SFMTA Transit division's transit operator staffing analysis and payroll data extracted from Trapeze, SFMTA's timekeeping and scheduling software, for July 2011 through December 2012, provided by SFMTA's Human Resources division.

SFMTA also underestimates transit operator staffing shortages because it does not account for attrition in its

SFMTA's Transit division performs its staffing analysis, updates it periodically, and then informs Human Resources that it needs more operators. Although Human Resources tracks the number of employees who

[14] Because the payroll data provided by SFMTA does not identify days operators spent in training, CSA's calculated 27 percent relief factor excludes time needed to cover operators at training, so is conservative.

staffing analysis.

stop being operators through promotion, retirement, or other reasons, the Transit division does not consider this attrition rate in its staffing analysis. The attrition rate varies over time, but the average attrition during fiscal years 2011-12 and 2012-13 was 8 percent.[15] If SFMTA had included this attrition rate in its staffing analysis, its calculated transit operator need would be significantly greater. Exhibit 10 shows what impact accounting for attrition would have on the Transit division's analysis.

EXHIBIT 10 SFMTA's Transit Operator Staffing Analysis Underestimates Its Staffing Needs Because It Does Not Account for Attrition[a]

Unit	Vehicle Type	Total Runs[b]	Operators Needed		Difference
			SFMTA Analysis Omitting Attrition	Accounting for 8% Attrition	
Full-Time Operators					
Cable Car	Cable Car	145	174	188	14
Flynn	Motor Coach	208	250	270	20
Green	Light Rail and Historic	244	293	316	23
Kirkland	Motor Coach	206	247	267	20
Potrero	Trolley	238	286	308	22
Presidio	Trolley	236	283	306	23
Woods	Motor Coach	333	400	432	32
Total Full-Time		1,610	1,933	2,087	154
Part-Time Operators					
Flynn	Motor Coach	15	18	19	1
Kirkland	Motor Coach	28	34	36	2
Woods	Motor Coach	23	28	30	2
Total Part-Time		66	80	85	5
Total		1,676	2,013	2,172	159
Total Full-Time Equivalent Operators[b]			**1,983.40**	**2,140.55**	**157.15**

Notes:
[a] The relief factor is the multiplier SFMTA uses to determine the number of operators it must employ to ensure that it has enough to cover its current schedule, taking into account time spent on leave and training.
[b] One part-time operator is equivalent to 0.63 of a full-time operator

Source: Auditor analysis of transit operator staffing analysis and attrition data provided by SFMTA Human Resources.

Based on its current service schedule, SFMTA is short 100.66 transit operators.

If the Transit division's staffing analysis used both a relief factor driven by actual leave data and accounted for attrition, it would calculate its need for operators at 2,266.33, or 282.93 greater than its current calculation.

[15] This attrition rate does not differentiate between full-time and part-time employees and is not based on full-time equivalent figures.

Regardless of the results of Transit division's analysis, the Finance division does not consider it when formulating the budget. The agency's fiscal year 2012-13 budget included 2,223.50 full-time equivalent operator positions, which was significantly higher than Transit's estimate of the number of operators needed. However, this figure is still below CSA's estimate of operators needed. Exhibit 11 demonstrates the differences between the Transit division's analysis, the department's budget, CSA's estimate of operators needed, and the actual number of operators employed.

EXHIBIT 11 Transit Operators: Actually Employed, Budgeted, and Estimated Need

Unit	Vehicle Type	Actual Operators as of May 31, 2013	Transit Division's Estimate of Operators Needed[d]		Budgeted FTE[a] Fiscal Year 2012-13		Audit's Estimate of Operators Needed		
			Operators Needed (20% Relief Factor[b], No Attrition)	Operators Short (In Excess)	Budgeted FTE	Operators Short (In Excess)	Operators Needed (27% Relief Factor[b], 8% Attrition)	Operators Short (In Excess)	
Cable Car	Cable Car	179.00	174.00	(5.00)	164.50	(14.50)	199.00	20.00	10%
Flynn[c]	Motor Coach	281.97	260.94	(21.03)	266.00	(15.97)	297.96	15.99	5%
Green	Light Rail and Historic	306.00	292.80	(13.02)	353.00	47.00	335.00	29.00	9%
Kirkland[c]	Motor Coach	288.64	268.62	(20.02)	326.00	37.36	307.20	18.56	6%
Potrero	Trolley	323.00	285.60	(37.40)	366.00	43.00	326.00	3.00	1%
Presidio	Trolley	283.00	283.20	0.20	262.00	(21.00)	324.00	41.00	13%
Woods [c]	Motor Coach	480.27	417.24	(63.03)	486.00	5.73	476.87	(3.40)	-1%
Unassigned (in training)		23.49	Not applicable	(23.49)	Not applicable	(23.49)	Not applicable	(23.49)	-
Total		**2,165.37**	**1,982.40**	**(182.97)**	**2,223.50**	**58.13**	**2,266.03**	**100.66**	**4%**

Notes:

[a] FTE = Full-time equivalent

[b] A relief factor is a multiplier of a staffing need to account for staff being away from assigned duties for training, being absent, or using leave.

[c] These units have both full-time and part-time transit operators assigned to them. A part-time operator is equivalent to 0.63 of a full-time operator.

[d] The Transit division's analysis is not designed to be a comprehensive staffing analysis to meet the needs of the department, but rather is intended to meet the needs of the division. It determines shortages by comparing its calculated operators needed to the number of active operators rather than actual operators employed. Active operators are operators who were not on a leave of two weeks or longer at the time of the preceding work assignment sign-up, and had not been absent more than six days at the time of the analysis. Consequently, the Transit division calculates a total shortage of 165.81 full-time equivalent operators rather than the excess shown here. For consistency, this exhibit compares the Transit division's calculated operators needed to actual operators.

Source: Actual operators provided by SFMTA. Budgeted FTE from SFMTA's fiscal years 2012-13 and 2013-14 budget book. Audit's estimate based on auditor analysis of transit operator payroll data for July 2011 through December 2012 and attrition data for fiscal years 2011-12 and 2012-13 provided by the SFMTA Human Resources division.

SFMTA needs an accurate calculation of transit operator shortages to maximize the effectiveness of its recruitment, hiring, and training processes.

As discussed in Finding 1.1, the department's failure to budget for an adequate number of transit operators negatively impacts the public, transit operators, and the department. Because it is responsible for SFMTA's budget, the Finance division would be the appropriate unit to coordinate efforts to transform the Transit division's calculations into a comprehensive transit operator staffing analysis to better inform the department's budget.

Recommendations

The San Francisco Municipal Transportation Agency, through its Finance and Information Technology division, should:

2. Coordinate efforts to perform an integrated transit operator staffing analysis that:
   - Uses a relief factor based on agency data.
   - Accounts for attrition.
   - Anticipates increased staffing requirements from approved service expansions.

3. Periodically review transit operator attrition, leave, and training usage rates and update its staffing analysis accordingly.

CHAPTER 2 – SFMTA's Training Unit Lacks the Resources Needed to Effectively Meet Departmental Needs

Summary

The Training and Instructions unit (Training unit) of the Organizational Development subdivision of SFMTA's Human Resources division lacks adequate resources—instructors available to train new operators, a dedicated fleet of buses, and an off-street skills course location that is consistently available—to efficiently train new transit operators and train enough of them to fill all vacancies. As a result, the Training unit is the bottleneck in the process of filling vacant transit operator positions and new operator training is less efficient than it could be.

Although the content of the new operator training program exceeds state minimum requirements and is robust, and the training's graduation rates and duration are reasonable, some phases of the training can be improved. Last, refresher training for existing transit operators could be improved by adding behind-the-wheel training.

Finding 2.1

The new operator training program does not have the capacity to fill all vacant motor coach transit operator positions.

SFMTA's Training unit is the bottleneck in the process of filling vacant transit operator positions.

Because of its limited capacity, SFMTA's Training unit's new operator training program is the bottleneck that limits SFMTA from filling all vacant transit operator positions. For fiscal year 2012-13, there were 2,224 budgeted transit operator positions, of which 2,165 (97 percent) were filled as of May 31, 2013, leaving 58 vacancies.[16] These 58 vacancies are in the Transit division units where new transit operators first work.[17] Some of these vacancies could be filled faster if the Training Unit had the capacity to train and graduate more transit operators.

[16] However, as discussed in Chapter 1, SFMTA underestimates the number of budgeted transit operator positions it needs because its staffing analysis does not factor in actual leave data or attrition. Therefore, even if the Training unit filled all vacant positions, there would still be fewer transit operators than needed to fulfill the service schedule with the minimum amount of overtime.

[17] All newly hired transit operators first work as motor coach drivers; only later can they operate other types of transit vehicles.

The Training unit's capacity to train new transit operators is primarily based on three resources:

- Instructors
- Motor coaches
- An off-street location that can accommodate the skills course

The Training unit has deficiencies in each of these resources that hamper its ability to administer the new operator training that is needed to fill vacant transit operator positions and meet departmental needs.

New operator training cannot fill light rail vehicle and cable car operator vacancies.

Some vacant transit operator positions cannot be filled by new transit operators. Graduates of the new operator training program must first operate motor coaches, not light rail vehicles or cable cars. Therefore, new operator training cannot directly fill any vacancies in divisions that do not operate buses. Nonetheless, more motor coach operator vacancies could be filled faster if the Training unit had greater capacity.

Finding 2.1.1

The Training unit lacks enough instructors to train new transit operators, causing it to cancel half of its scheduled new operator training classes, due to vacancies, leave, and absenteeism.

Out of a staff of 40, only 8 instructors are designated to conduct new operator training.

Although it had a budget of 49 full-time equivalent instructors for fiscal year 2012-13, the Training unit was short 9 instructors as of June 2013. Of the 40 instructors employed:

- 5 were expected to transfer out of the Training unit by August 2013.
- 3 were on leaves of absence.
- 1 is an acting manager.

Therefore, by September 2013 there are expected to be only 31 instructors available in the Training unit, or 18 fewer than budgeted. Furthermore, instructors at the Training unit must fulfill various training duties including those for Verification of Transit Training (VTT), Transit division assigned instruction, cable car training, light rail vehicle training, and accident retraining. As of June 2013 only 10 of the Training unit's instructors were assigned to the new operator training program.

Of the 10 new operator training instructors, 2 are lead instructors, meaning they lead the class, supervise, and monitor the other instructors, but do not actually train new operators unless they need to fill in for absent instructors.[18] Thus, there are only 8 first-line instructors for new operators.

On average, 15 percent of training instructors do not come to work each day.

Aside from the shortage of instructors, Training unit instructors are frequently absent or on leave. According to SFMTA's organizational development manager, from November 2012 through June 2013, an average of six instructors was absent each work day, which is 15 percent of the 40 FTE instructors in the unit. This includes instructors who call in sick, are on vacation, or take other leave. Due to this rate of leave, the Training unit has to allocate a significant number of its instructors to fill in for those absent.

Instructors are taken from other duties to allow for full new operator training classes, which has negative effects.

With eight instructors and instruction designed to maintain a three-to-one student-to-instructor ratio, each new operator training class can have up to 24 students. To maintain new operator classes of this size, during fiscal year 2012-13 the Training unit had to pull some of its instructors assigned to Transit division subdivisions or had to have its lead instructors teach students. As a result, the Transit subdivisions are left without instructors for weeks at a time and the Training unit is less able to properly supervise its instructors.

Full, overlapping classes of 30 new operator trainees each would require 20 instructors rather than the current 8.

For the six new operator training classes in 2012, a new class began around the time the prior class graduated; classes did not overlap. According to the new operator training program schedule, a three-to-one ratio of students to instructors must be maintained for the first six weeks of training before the students move to line training and the instructors are freed up. Therefore, to hold new operator classes more frequently than they are now—starting a new class before the previous one ends—according to the organization development manager, he would need two sets of new operator instructors. There would need to be ten instructors, excluding the lead instructors, per set to handle a class size of 30.

[18] Often, due to shortages of instructors or increased class sizes, the lead instructors have also taken on a group of new operators to instruct.

SFMTA's three-to-one student-to-instructor ratio is in line with those of other agencies and is reasonable.

As shown in Exhibit 12, the Training unit's three-to-one student-to-instructor ratio for new operator training is consistent with ratios used by five other California transit agencies the audit researched, most of which range from two-to-one to four-to-one.

EXHIBIT 12 California Transit Agencies' Student-to-Teacher Ratios

Agency	Student-to-Teacher Ratio
Sacramento City Regional Transit	4-5:1
San Diego Metropolitan Transit System	4:1
Los Angeles County Metropolitan Transportation Authority	2:1
Alameda-Contra Costa Transit District	2:1 to 7:1*
Santa Clara Valley Transportation Authority	3:1

Note*: Alameda-Contra Costa Transit District has implemented student-to-teacher ratios from 2:1 to an extreme of 7:1 over the years.

Source: Auditor's research.

According to the Training unit's lead instructors, the three-to-one student to instructor ratio is sufficient and works out to approximately two hours of driving per student per day during the first six week of the class. However, the lead instructors also point out that the number of driving hours is reduced when the Training unit does not receive motor coaches when needed or at all. (See Finding 2.1.2.) The lead instructors believe that a two-to-one student-to-instructor ratio would be ideal and that a four-to-one ratio would be inefficient for the students, who would have proportionately less driving time each day. (Exhibit 16 in Finding 2.1.2 shows the estimated driving hours per student for new transit operator classes if the student-to-instructor ratio were increased.)

Three of six new operator training classes were canceled in 2013 due to too few instructors.

Due to a lack instructors, new operator training classes have been canceled, according to the Training unit manager. In the first half of calendar year 2013, six new operator training classes were scheduled to begin every four weeks. However, due to an insufficient number of instructors, three of the six classes were canceled, resulting in delays in training up to 90 potential new transit operators, 30 planned per class. Rather than these new hires being trained as scheduled, they were held over to the next training class.

According to the Organizational Development subdivision manager, these classes were scheduled assuming that more instructors would become available through the voluntary transfer process,[19] which presumably would have resulted in ten new operator instructors, allowing a class size of 30. However, the voluntary transfer process in 2012 was unsuccessful for the Training unit, so it did not receive the planned number of instructors.[20] SFMTA now has plans to begin a new voluntary transfer process and the Training unit hopes it will receive additional instructors.

To improve its ability to hire and retain more training instructors, SFMTA must make the instructor assignment—which is not preferred—more desirable.

Training instructors are in the Transit Supervisor class (classification 9139), which offers a broad range of assignments, including:

- Communications
- Dispatching
- Schedule preparation
- Training
- Transit operator supervision

All the assignments have the same base pay, and the training instructor assignment gets a premium pay of $1.50 per hour. However, reportedly, the assignment is not preferred. According to the labor agreement for this classification, transit supervisors sign up for job assignments every three years, based on qualifications, skills, and seniority, through the voluntary transfer process. For fiscal year 2012-13, SFMTA budgeted 213 FTE transit supervisor positions, of which 40 were designated as training instructors.[21]

Many transit supervisors would prefer not to be instructors, and the seniority-based sign-ups hold several potential pitfalls for the quality of training.

According to the Organization Development subdivision manager and Training unit manager, transit supervisors generally avoid signing up to be an instructor because:

- Instructors have no opportunity to earn overtime pay.
- Instructors have a strict schedule of 7 a.m. to 3:30

[19] SFMTA's Voluntary Transfer Process allows an employee to move within the 9139 Transit Supervisor job classification's assignments once every three years.

[20] One of the three canceled classes also lacked a training location as well as enough instructors.

[21] According to the Organizational Development subdivision's manager, nine additional budgeted positions were added in around April 2012 when the Transit division transferred nine FTE transit supervisors to the Training unit, giving it a total of 49 budgeted FTE instructors.

p.m., Monday through Friday.
- Training new operators can be demanding and stressful.
- Some transit supervisors simply do not want to teach.

Because the sign-ups are based on seniority, less senior transit supervisors are left with whichever positions remain after their more senior peers have selected their assignments and, according to the managers interviewed, these are often the instructor positions. Therefore, according to the Training unit manager, his unit sometimes gets transit supervisors who do not want to be instructors, but the unit must accept them. The audit team believes this, in turn, may increase absenteeism and turnover among instructors.

Other problems with the way in which employees become instructors include that:

- The Training unit sometimes gets employees transferring from other transit supervisor assignments who have not driven a motor coach in years, so their skills are weak and/or their knowledge of procedures is not current, according to the Training unit manager.

- There is no screening for teaching skills. As stated by the Training unit manager, just because someone is a good motor coach driver does not mean that he or she can (effectively) teach someone else to drive a motor coach.

According to the managers of the Organizational Development subdivision and Training unit, the instructor position should be in a separate job classification from the transit supervisors, with minimum qualifications that are specifically identified for instructors. The audit team believes that another option would be that the instructor assignment pay more than the premium currently offered.

Recommendations

The San Francisco Municipal Transportation Agency should:

4. Define the specific qualifications desired for the Training unit's instructors and work with the

Department of Human Resources to establish a higher base pay or a premium pay to attract interest in the instructor assignment from more qualified transit supervisors.

5. As an alternative to Recommendation 4, work with the Department of Human Resources to create a transit operator instructor job classification that is separate from the Transit Supervisor classification.

6. Fill vacant instructor positions in the Training unit so new operator training classes can occur more frequently, preferably allowing two such classes to occur simultaneously so that vacant transit operator positions are filled more rapidly.

Finding 2.1.2

The Training unit lacks enough buses and a reliable location for new operator training. The Transit division provides the Training unit fewer buses than needed and often delivers them late, and the two units collaborate poorly, all causing reduced student driving hours and inefficiency.

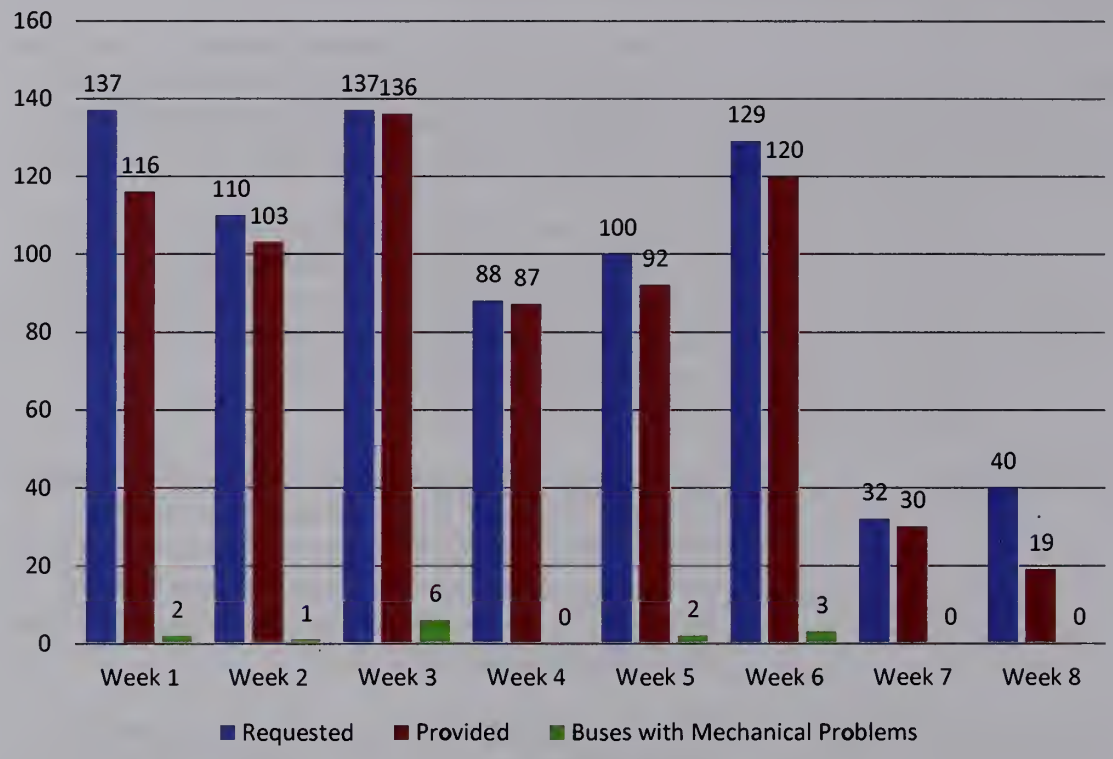
The Training unit relies on the Transit division to loan it the buses it needs for new operator training.

SFMTA's Training unit does not have its own fleet of motor coaches and instead must borrow buses from the Transit division, which does not consistently supply them as needed. The Transit division often does not provide the Training unit the number or type of motor coaches requested and frequently delivers them late, reducing trainees' driving practice time and making the training less efficient.

The Transit division consistently sends fewer buses—an average of 9 percent fewer—than the Training unit needs.

For two new operator training classes that occurred in the six months of October 2012 through March 2013, according to its records, the Training unit requested 773 motor coaches from the Transit division, but received only 703 (91 percent), a shortfall of 9 percent. Also, the Training unit recorded that 14 (2 percent) of the motor coaches it received during the period were unusable due to mechanical problems. As a result of frequent training vehicle shortages, the efficiency of new operator training is reduced, with trainees having excessive waits to drive and driving for less time than planned. Exhibit 13 shows the details of the motor coaches requested and received by the Training unit.

EXHIBIT 13 **Number of Motor Coaches Requested From and Provided by the Transit Division for New Transit Operator Training October 2012 Through March 2013**



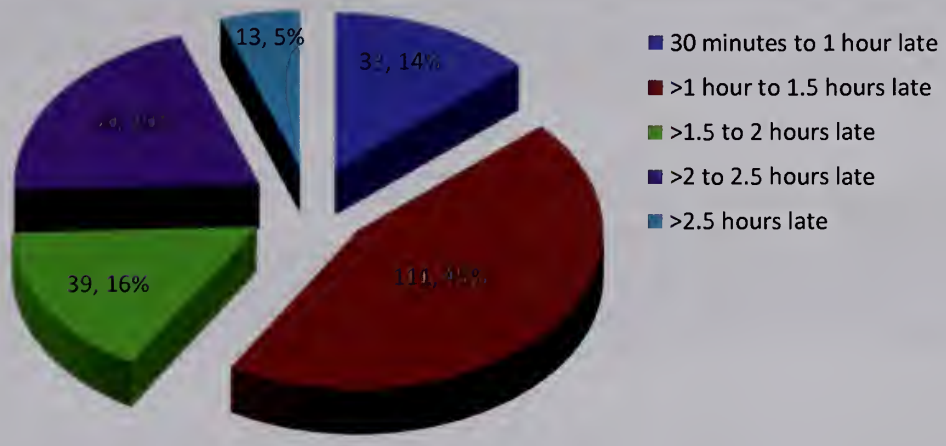
Source: Auditor's analysis based on records of SFMTA's Organizational Development subdivision.

On some days the Transit division provided the Training unit more motor coaches than it requested, but the Training unit consistently received fewer motor coaches each week than it requested. Also, the Transit division sometimes provided the wrong type of bus. According to the Training unit manager, the new operator training program requires that all vehicles be the same type of motor coach so that each student learns using the same equipment and parts, as required for the DMV test.

The Transit division provided one-third of the buses late.

According to Training unit records for the same six-month period, the Transit division provided 246 (35 percent) of the 703 provided motor coaches at least 30 minutes late, with some more than two hours late. New operator training begins at 7 a.m. each day except on night driving days, when training begins at 3 p.m. Exhibit 14 shows how late motor coaches were provided in comparison to the time requested.

EXHIBIT 14 **Motor Coaches Delivered Late by the Transit Division for New Operator Training October 2012 Through March 2013**



Source: Auditor's analysis based on SFMTA's Organizational Development subdivision's records.

Buses are most often late during the road or mode change phase of new operator training.

According to the Training unit manager, motor coaches are usually received late during the road or mode change phase of the new operator training program. Also, the Training unit manager indicated that the Transit division usually does provide the number or type of motor coaches requested. According to one lead instructor, motor coaches are usually late because the Transit division's units must first ensure that there are enough motor coaches available for revenue service runs, and if there are incidents such as mechanical problems, then the Transit division units retain motor coaches that would have been given to the Training unit. When this occurs, the Transit division is delayed in delivering a different motor coach for the Training unit.

Delayed delivery of buses makes new operator training less efficient and reduces behind-the-wheel practice time.

When motor coaches are provided late, students and instructors must wait. According to a lead instructor, the instructors sometimes use the waiting time to show the students around the facility or review skills and material. However, this is not always possible. Besides causing time to be used inefficiently, a lead instructor indicates that these delays cause stress on the lead instructors who may try to quickly make other arrangements or change student-to-instructor ratios so that more students are out on the road. In all cases, the delays ultimately reduce the students' behind-the-wheel training time.

The maximum of 122 driving hours for new transit operator trainees can be reduced significantly by missing instructors and missing or late buses.

If new operator training classes begin and end on time and receive all the buses needed on time each day, each student will receive an estimated 122 hours of behind-the-wheel training by the end of the program. Exhibit 15 details the maximum driving hours per student in the new operator training program.

EXHIBIT 15 Estimated Maximum Driving Hours per Student in the New Operator Training Program

Training Phase	Duration (In Days)	Student-to-Instructor Ratio	Daily Driving Hours per Student	Total Driving Hours per Student
Skills Course	5	3:1	2.33[a]	11.7
Classroom	5	n/a[b]	n/a[c]	n/a[c]
Road Training	10	3:1	2.33[a]	23.3
Mode Change	10	3:1	2.33[a]	23.3
Line Training	10	1:1	6.40[d]	64.0[d]
DMV Test	4	n/a	n/a	n/a
Total Duration	44 days			122.3

Notes:
[a] Based on three students per bus equally sharing 7 hours of driving time. (Assumes an 8-hour day in which instructors spend one hour driving to and from a training location or demonstrating maneuvers.)
[b] Not applicable because lead instructors teach the entire class.
[c] Classroom days have no driving hours.
[d] Based on one student per bus, each student driving 80 percent of an 8-hour run.

Source: Auditor analysis based on interviews of SFMTA Training unit personnel.

As shown above, 122 hours per student is a maximum. The number of behind-the-wheel training hours is reduced when the student-to-teacher ratio must be increased, due to instructor shortages (see Finding 2.1.1), and when motor coaches are not provided or are provided late. According to the Training unit's superintendent, trainees usually do not get more than two hours of driving time per day, with an average of 1 hour and 45 minutes. This estimate yields a total of 108 driving hours per student for the new operator training class. Exhibit 16 shows the estimated behind-the-wheel training hours when student-to-instructor ratios increase or motor coaches are late.

EXHIBIT 16 **Estimated Driving Hours per Student in the New Operator Training Program Assuming Various Increased Student-to-Instructor Ratios and Late Motor Coaches**

Student-to-Instructor Ratio	Total Driving Hours Per Student		
	Maximum (All Motor Coaches Arrive on Time)[a]	All Motor Coaches Arrive One Hour Late	All Motor Coaches Arrive Two Hours Late
3:1[b]	122	114	106
4:1	108	102	95
5:1	99	94	89

Note:
[a] Based on students on each bus equally sharing 7 hours of driving time. (Assumes an 8-hour day in which instructors spend one hour driving to and from a training location or demonstrating maneuvers.)
[b] This is the program's intended ratio.

Source: Auditor analysis based on interviews with SFMTA's Training unit personnel.

Transit operators indicate that new operator training needs better time management, confirming that the training's efficiency is compromised by a shortage of buses.

The Training unit's survey questionnaires completed by students at the end of the new transit operator training classes held from January 2012 through May 2013 included some comments about poor time management. Specifically, a few students indicated that much time is wasted in the mornings when students must wait for class to begin, presumably because buses have not arrived.

The Training unit lacks a dedicated location—or even one it can reliably schedule—for new operator training.

The Training unit does not have a dedicated off-street location for a skills course on which to train new operators. The first, five-day phase of the new operator training program requires a closed course so that new operators can practice basic skills, such as forward and backward driving, right and left turns, and parallel parking, required for driving a motor coach and passing the DMV exam. The Training unit currently schedules skills training at Pier 96 through the San Francisco Police Department, which, according to the Organizational Development manager, has a memorandum of understanding with the property owner, the Port of San Francisco, to use the location for police training. However, scheduling the location can be difficult because the Training unit can only use the location if the Police Department is not using it and, according to the Training unit manager, scheduling conflicts have sometimes occurred.

The shortage of buses and frequency of buses provided late for training has not been

Interviews of key managers from both the Transit and Human Resources divisions clearly indicate that poor communications and a weak working relationship exist

resolved partly due to a lack of collaboration between SFMTA's Human Resources and Transit divisions.

between the divisions. The director of the Transit division stated that there is no collaboration between the two divisions. He stated that he believes that the Training unit is too detached from the agency's day-to-day transit operations and that the unit does not want or welcome any input from the Transit division. Conversely, the manager of the Human Resources division's Organizational Development subdivision stated there is a lack of understanding and collaboration from the Transit division. Also, the Training unit manager expressed a belief that the Transit division does not understand or try to understand the transit operator training process yet suggests ways to improve the Training unit's programs.

Given these observations, it is not surprising that managers in the two divisions disagree on the extent of the shortage of buses for training and its causes. According to the Training unit manager, the issue of motor coaches would be eliminated if his unit had its own fleet, which he has requested from the Transit division. According to the Transit division director, the Training unit has complained about not having what it needs: enough buses and a dedicated location.[22] Underlying the lack of collaboration is the fact that, according to the Transit Management subdivision's deputy director, the transit operator training function was in the Transit division until it was moved to the Human Resources Division during an SFMTA reorganization.[23]

The Training unit has received some dedicated buses but still lacks an appropriate location for a skills course.

The Transit division director noted that SFMTA had ordered new buses, a number of which were designated for the Training unit.[24] Also, the Training unit was offered SFMTA's Islais Creek facility as a designated location for training but the unit reports that it cannot use the facility due to it being unsuitable for a skills course.[25] According to the Training unit manager, he has asked for a dedicated fleet of motor coaches since assuming his current position about three years ago.

[22] See Finding 2.3 for a discussion of the lack of a dedicated location for the Training unit.

[23] The Transit Management subdivision's deputy director believes that transit operator training should be a function in the Transit division. However, according to the Federal Transit Administration's Transit Bus Safety Program, human resources functions include establishing employee training requirements and managing training and employee development activities.

[24] After the interview, SFMTA took delivery on these buses.

[25] According to the Training unit manager, the facility has too many light poles too closely spaced, making it impossible to set up a skills course with the DMV-required dimensions.

In June 2013 the Organization Development subdivision manager confirmed that the Training unit has received ten dedicated motor coaches, in working condition, for training and anticipates receiving more in the coming months as the Transit division receives more new buses. This will free up older motor coaches for transit operator training. The manager estimates that 20 dedicated motor coaches would be ideal if the Training unit were fully staffed with instructors dedicated to new operator training.

Other agencies have dedicated motor coaches and training locations.

Of five other California transit agencies contacted for the audit, two either have buses that belong to the training unit or have buses assigned for training use. (Each has 12 training buses.) One agency mentioned that the key to its longstanding assignment of buses to its training unit has been in the relationship developed between the operations and training units.

Of the five agencies, three have a dedicated training location, and those facilities are not shared with other entities, which eases the scheduling of training.

Recommendations

The San Francisco Municipal Transportation Agency should:

7. Determine the number and type of motor coaches needed by the Training unit and continue to provide the unit with more dedicated motor coaches until it has enough.

8. Locate and, if necessary, lease a location suitable for transit operator training programs that can be reliably scheduled to meet the needs of the Training unit.

9. Improve collaboration between the Transit and Human Resources divisions with the goal of increasing the efficiency and effectiveness of the agency's transit operator training programs.

Finding 2.2

The graduation rate and nine-week duration of SFMTA's new operator training are reasonable.

The new operator training graduation rate has ranged from 71 to 91 percent in the last three years.

Based on graduation rates that are comparable to those of other California transit agencies and its robust content, the new operator training program is effective in training new transit operators. The Training unit's new operator training program's graduation rate has increased from 71 percent in 2011 to 91 percent for the first half of calendar year 2013. Exhibit 17 details the number of new operator training classes held each year and the number and proportion of transit operators that have graduated.

EXHIBIT 17 **New Transit Operator Training Program Class Sizes and Graduation Rates**

Year	Number of Classes	Number of Students	Graduates	
			Number	Percentage
2011	10	343	242	71%
2012	6	136	106	78%
2013*	3	93	85	91%
Total	19	572	433	76%

Note: *Completed classes through June 2013.

Source: Auditor analysis based on SFMTA Training unit data.

According to the Training unit manager, the upward graduation trend can be attributed to a number of factors, such as:

- Changed class makeup and smaller class size.
- Changes in training personnel.
- Retraining of instructors.
- Implementation of new training methods and standards.

While a low graduation rate could indicate that a training program accepts unqualified candidates, imposes unnecessary barriers to success, or offers poor-quality instruction, too high a graduation could indicate other problems. According to the Training unit manager, a 90 to 100 percent graduation rate should not be considered a norm because it would suggest that everyone or almost everyone entering training graduates, and, according to the unit manager, this normally will not (and should not) be the case.

SFMTA's graduation rate is comparable with those of peer agencies.

Of the five other transit agencies contacted for the audit, graduation rates range from 70 to 90 percent, indicating that SFMTA's rate is typical of other agencies in California.

Nine weeks of new operator training is reasonable and exceeds state requirements.

The nine-week duration of the new operator training allows SFMTA to offer a robust program and a quantity of training that greatly exceeds state requirements, which are minimal. DMV requires only a minimum of 20 hours of driving and 15 hours of classroom instruction. With the current operator training schedule, program graduates greatly exceed these DMV minimums. As presented earlier in this chapter, the audit estimates a maximum driving time per student in the new operator training program of 122 hours.

Other agencies' new transit operator training ranges from six to ten weeks, consistent with SFMTA's.

The length of SFMTA's new operator training program is in line with other transit agencies' programs. The five other agencies contacted report durations of their new operator training as follows:

- Sacramento City Regional Transit – 6 weeks
- Los Angeles County Metropolitan Transportation Authority – 7 weeks
- San Diego Metro Transit System – 8 weeks
- Alameda-Contra Costa Transit District – 9 weeks
- Santa Clara County Transportation Authority – 10 weeks

San Francisco's streets, hills, and traffic make it a difficult place to drive—and, thus, to be a transit operator—which may justify a longer training program than some other agencies surveyed.

Although LA Metro's 7-week initial training includes line training, SFMTA's 9-week duration may be justified by more varied and challenging driving conditions in San Francisco.[26] The Training unit manager indicates that San Francisco stands out because of its variety of roads, hills, density, and highways with which SFMTA's transit operators must learn to negotiate, while other agencies' service areas may not have such a variety of conditions. Therefore, per the manager, the Training unit requires more time to adequately train new transit operators to safely drive a motor coach in San Francisco. The audit finds this assessment reasonable.

[26] It was unclear if the two other peer agencies that reported a shorter training duration than SFMTA's, Sacramento and San Diego, included or excluded line training from the reported duration of their initial training.

Finding 2.3

Line training needs improvement. Some line training instructors do their jobs incorrectly or improperly, and the line training evaluation process is flawed.

Some line training instructors are inattentive.

While most of the new operator training program appears to be adequate, the audit team observed that some line training instructors exhibited incorrect behaviors, reducing the training's effectiveness.[27] Based on 11 line instructors the audit team observed (on board in-service motor coaches being driven by trainees) over the course of five days, some line trainers:

- Had little or no interaction with the trainee.
- Did not watch the road or the trainee driving.
- Did not provide customer relations assistance.
- Checked or spoke on a cell phone.

These behaviors indicate that some line instructors do not fulfill their responsibilities, for which they are paid $5 per hour extra in premium pay. Moreover, these behaviors interfere with the instructor's ability to ensure that the trainee is operating the vehicle safely and may prevent the instructor from giving valuable, necessary feedback to the trainee on evaluation forms.

The requirements to become a line instructor and the procedures that line instructors must follow are extensive.

SFMTA expects much of its line instructors, all of which is antithetical to the observed behaviors listed above. To become a line instructor, transit operators must meet numerous qualifications, including:

- At least one year of experience in a motor coach.
- No chargeable accidents in the last 12 months.
- No more than three unavoidable incidents in the last 12 months.
- Be recommended by a Transit subdivision superintendent or subdivision instructor.

To become a line instructor, the operator must also complete the two-day line trainer program, the goals of which are to be "a motivated and highly qualified Line Trainer possessing the essential skills, knowledge and abilities necessary to provide new and experienced operators with guidance through example, explanation and personal experience, thereby reinforcing the

[27] The audit team observed various phases of the new operator training, including skills course driving, classroom training, line training, and the DMV driving test.

Municipal Transportation Agency's policies, procedures, vision and goals." Also, line instructors are expected to know and be able to instruct operators on the *Principles of Defensive Driving,*[28] to identify improper operation and to suggest corrections to student operators during road training. Further, line trainers are to:

- Emphasize safety first.
- Give encouragement to students.
- Provide constructive criticism.
- Discuss the balance between safety and on-time performance.
- Evaluate students using a form that includes almost 20 items for which the instructor must indicate whether the trainee performed the requirement.

One line instructor's behavior was egregious.

One line instructor, observed by the audit team over two days, slept on the bus while on duty on both days.

EXHIBIT 18 Unacceptable Behavior of One Line Instructor

Behavior Observed	2/20/2013	3/11/2013
Sleeping[a]	✓	✓
Chatting with passengers and not observing trainee	✓	
Eating a sandwich	✓	
Facing the back of the bus for long periods	✓	✓
Writing on a note pad[b]		✓

Note:
[a] Line instructor was asleep while a passenger asked for directions and trainee looked to instructor for help. In the same instance, the trainee missed a bus stop while the line instructor was asleep.
[b] Line instructor was sitting in the third seat from the front of the bus although the front seat was vacant and was not watching the trainee's driving.

Source: Audit team's observations.

The audit team reported this line instructor's unacceptable behavior to SFMTA's Transit and Human Resources divisions shortly after the second observation. SFMTA's Training unit superintendent agrees that these behaviors are unacceptable and detract from both the efficiency and effectiveness of the transit operator line training. According to the Training unit superintendent, it is policy that line instructors who are not fulfilling their job duties be immediately removed from the active line

[28] SFMTA's Training unit teaches key elements of defensive driving including the concept of always driving with an adequate margin of safety.

instructor list and to proceed accordingly, depending on the nature of the infraction.

The line training evaluation process is not conducive to fair evaluations.

According to the Organizational Development subdivision manager, each day line instructors must complete an evaluation form concerning their trainees. The back of the form provides a space for the trainee to evaluate the line instructor. However, until recently, the trainee was asked to complete the evaluation form first and then submit it to the line instructor. This process could be expected to inhibit the trainee from giving any critical feedback about the line instructor for fear that the instructor would, in turn, provide a negative evaluation of the trainee.

The Transit division recently reversed this procedure so that the line instructor completes the evaluation of the trainee first and then gives the form to the trainee to complete the evaluation of the instructor. The trainee then submits the fully completed form to the Transit subdivision instructor directly. However, this new procedure is also not ideal as the line instructor may now feel pressured to give a positive evaluation of the trainee so that the trainee gives a favorable evaluation of the line instructor.

Overall, transit operators were satisfied with the new operator training program, but graduates want more instruction and practice on programming vehicle signs and fare boxes and learning routes, topics that should be covered in the line or road training phases.

From January 2012 through May 2013, the Training unit's survey responses from transit operators at the end of the new operator training program indicate that graduates were satisfied or very satisfied with most of the training they received. (The majority of the surveys the audit team reviewed were completed manually but, starting in March 2013, the surveys were administered electronically.) Of the 30 survey questions, 27 (90 percent) required a response on a rating scale with 5 being "very satisfied" and 1 being "very dissatisfied." For these 27 questions requiring a numerical rating response, results were as follows:

- On the manual surveys, 6 (22 percent) received lower than a 75 percent satisfaction rating of 4 or 5 (satisfied or very satisfied), ranging from 53 to 74 percent satisfaction.

- On the electronic surveys, 3 (11 percent) received lower than a 75 percent satisfaction rating, ranging from 60 to 69 percent satisfaction.

For both manual and electronic surveys, graduates were largely dissatisfied with regard to receiving clear instructions and enough practice on programming vehicle route/destination signs and fare boxes and with regard to being given enough practice in learning the fare structures. One graduate commented that he/she did not know how to set the sign and only had a vague idea on programming the fare box. According to the Training unit superintendent, signs on the buses show the line number, line name, and destination of the bus. Also, the Training unit superintendent states that programming fare boxes include the transit operators programming their identification number, line number and run number. These skills are taught during the road and line training phases of the new operator training.

Some graduates indicated dissatisfaction with the training they received on bus routes, with some responding that they did not learn all or most of the routes for their division. One graduate commented that he/she was not allowed to drive much during line training, which may indicate a shortcoming in the road and/or line training phases.

Recommendations

The San Francisco Municipal Transportation Agency should:

10. Implement procedures to more effectively monitor the line training phase of the new operator training program to ensure that line instructors are instructing new operators in accordance with the program's policies and procedures.

11. Restructure the line training evaluation process so that both line training instructors and trainees evaluate each other without them seeing the other's evaluations.

12. Remind or retrain new operator instructors and line instructors to spend more time teaching and reinforcing the division's routes and providing more practice on programming signs and fare boxes and learning the fare structure during the road and line training phases.

Finding 2.4

Worker safety training is presented inconsistently and should be improved.

Reportedly, worker safety training—including presentations by SFMTA employees and a contractor, BackFirst—is often not presented.

New operator training is to include topics related to worker safety, including two presentations from SFMTA's Industrial Safety & Environmental Compliance unit of the Human Resources division on Violence in the Workplace and Injury and Illness Prevention Program. The audit team observed the two presentations and noted that the material presented adequately covers worker safety, including workplace injury prevention. However, according to one of the Training unit's lead instructors, the presentations, while scheduled during every new operator training class, usually do not happen because the presenter from the Industrial Safety & Environmental Compliance unit does not show up as scheduled. Of the six new operator training classes in 2012, for only three were sign-in sheets for the Violence in the Workplace and Injury and Illness Prevention Program presentations available for review. According to the Training unit superintendent, he cannot recall whether the worker safety presentations took place in the other three new operator training classes.

The BackFirst presenter was a no-show and the rescheduled presentation was sparsely attended.

The new operator training program also includes a presentation from BackFirst, an SFMTA contractor who is to provide workplace worker safety information, including on ergonomics, and wellness information to prevent workplace injuries. However, when the audit team attended a scheduled presentation, the BackFirst presenter did not arrive. The Training unit's lead instructor informed the audit team that the presenter forgot about the presentation. Although the presentation was rescheduled, the rescheduled date was on the last day of the class's DMV testing, so only nine students were available for the presentation, as other students were completing their license paperwork at the DMV.

Recommendation

The San Francisco Municipal Transportation Agency should:

13. Evaluate whether the Training unit's lead instructors could present the *Violence in the Workplace* and *Injury and Illness Prevention Program* presentations in the event the presenter does not appear for the training so that no time is lost and trainees receive all training materials.

Further, the Training unit's team leaders should follow up with presenters and remind them of presentation dates.

Finding 2.5

SFMTA's transit operator refresher training addresses worker safety but lacks behind-the-wheel instruction.

Experienced operators receive only classroom-based refresher training, which is all that is required by the state.

SFMTA's Training unit addresses worker safety to prevent workplace injuries during its Verification of Transit Training (VTT), which is an annual training for all transit operators as required by the State of California. The eight-hour VTT class includes:

- Current laws and regulations
- Defensive driving
- Accident prevention
- Emergency procedures
- Passenger loading and unloading

While the VTT class covers topics that address worker safety and injury prevention, it is all taught in the classroom. According to the Training unit manager, these topics could be better covered, through demonstrations and practice, with the addition of some behind-the-wheel training during a portion of the VTT class. However, due to the lack of resources discussed in Finding 2.1—sufficient instructors, a dedicated fleet, and a reliably available location—the Training unit cannot currently include a behind-the-wheel component in its VTT class.

Recommendation

14. Once the Training unit receives sufficient instructors and motor coaches and has use of a reliably available training location, the San Francisco Municipal Transportation Agency should develop a behind-the-wheel training component and add it to its Verification of Transit Training course. One of the component's objectives should be to more effectively address worker safety and prevent workplace injuries among experienced transit operators.

Page Intentionally Left Blank

CHAPTER 3 – The Transit Operator Recruitment and Selection Process Adequately Fills New Operator Training Slots but Needs to Improve to Fill All Operator Vacancies

Summary

SFMTA's transit operator recruitment and selection processes effectively provide qualified candidates to fill the new transit operator training program, which is the conduit to become an SFMTA transit operator. Also, the Human Resources (HR) division has reduced the time needed to recruit transit operators by 60 percent, from ten months to four. However, the HR division is unable to meet the department's need to fill all of its budgeted transit operator positions—as evidenced by the 2 percent vacancy rate among these positions—because there would be no purpose in hiring more transit operators than can be scheduled for initial training. The HR, Finance, and Information Technology divisions must work together to forecast and plan for the number of transit operators the agency needs. SFMTA could deliver more effective transit services to the public if it could more accurately project the number of staff required to fulfill its service schedule and fill more of its vacant transit operator positions.

Finding 3.1

SFMTA's recruitment and selection process provides virtually all of the trainees needed to fill the new transit operator training classes and complies with state requirements but lacks written policy and procedures.

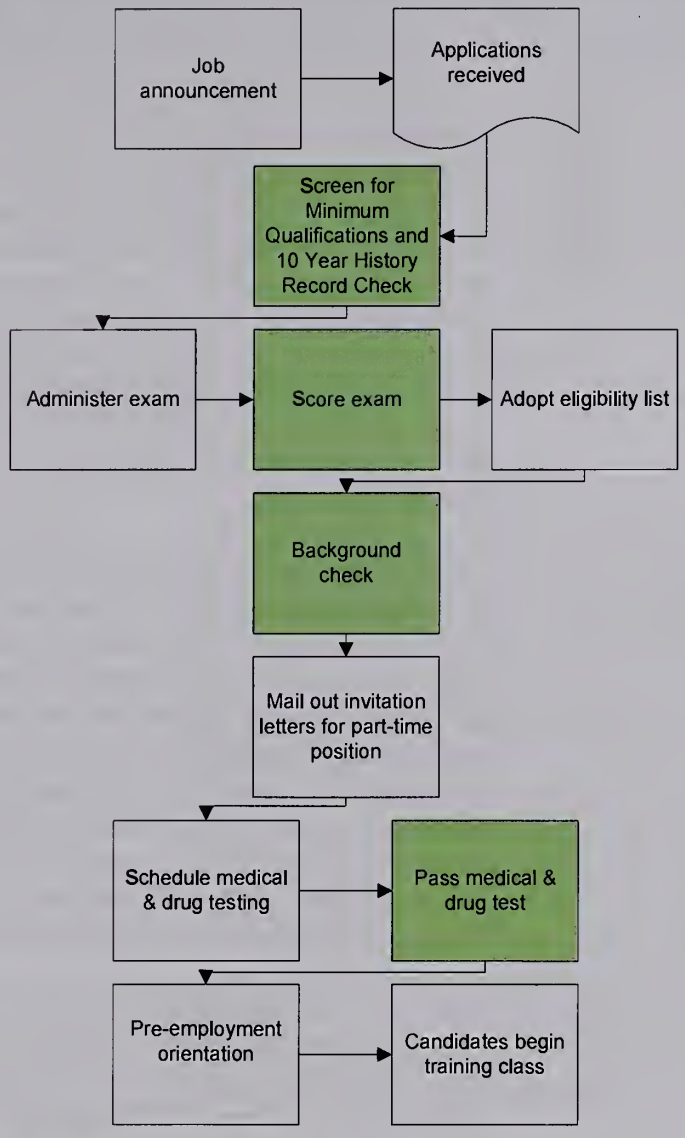
The HR Operations unit filled almost all vacant transit operator positions that the Training Unit had the capacity to train.

The Human Resources Operations subdivision (HR Operations) of SFMTA's HR division successfully recruits and selects those that participate in the Training unit's new transit operator classes. In 2011 and 2012 the Training unit requested a total of 493 trainees for its new operator classes, and HR Operations provided 479 qualified trainees (97 percent) on time at the start of each class. According to HR Operations, it offered trainee positions to the other 14 requested candidates (3 percent), who accepted but then decided not to

participate with little or no advance notice. Because HR Operations cannot control these unanticipated dropouts and cannot be expected to replace them in a few days or less, the audit considers the unit effective in obtaining the desired number of qualified candidates for new operator training.

HR Operations must ensure that it meets the personnel needs of its internal customers, including the Training unit. To do so successfully, it must recruit, process, and select qualified candidates effectively and efficiently. HR Operations' process ensures that only qualified candidates who meet the transit operator minimum qualifications and pass the written exam, background check, and medical and drug tests are hired to become a transit operator trainee. Exhibit 19 depicts the transit operator recruitment and selection process.

EXHIBIT 19 HR Operations Unit's Transit Operator Hiring Process



Source: SFMTA Human Resources Operations unit.

The transit operator hiring process complies with state requirements.

SFMTA's hiring process for transit operators complies with California Department of Motor Vehicles (DMV) requirements by incorporating the commercial driver license requirements in its hiring procedures. DMV requires that all commercial driver license applicants:

- Complete and submit the results of a medical exam.

- Undergo a background check.
- Undergo a 10-year driving history record check.
- Pass the traffic laws and signs test, which results in the applicant receiving a commercial driver permit.

HR Operations requires candidates to provide a 10 Year History Record Check as part of the minimum qualification and a driving permit after being placed on the eligible list. The unit then conducts the medical and background checks only on candidates selected for hiring because it is costly to perform these tests on all eligible candidates. The audit found that transit agencies, including those in Sacramento, San Diego, Alameda-Contra Costa, Los Angeles County, and Santa Clara County use similar qualifications in their transit operator hiring processes as every agency in the state must follow DMV requirements.

Transit agencies had common elimination points in the hiring process.

Five California transit agencies contacted for the audit experience transit operator candidates being disqualified at the same points in the selection process as SFMTA does. The most common reasons for disqualification, consistent with other jurisdictions, are failure to meet or pass minimum qualifications, written exams, background checks, driving records, and medical/drug test. In the four transit operator recruitments audited, HR Operations reports that it received an average of 2,200 applicants. Only 39 percent of the applicants met the minimum qualifications, while more than 60 percent failed.

The high rate of unqualified applicants may be attributed to the compensation for SFMTA transit operators being one of the highest in the country in previous years. The passing rates for three of the four stages reviewed after minimum qualification average 84 percent. Exhibit 20 shows the passing rates of transit operator applicants in the three qualification stages of the hiring process during the four recruitments conducted in 2009 through 2012.

EXHIBIT 20 Transit Operator Recruitment Qualification Stages

Job Announcement Date	Exam Date	Applicants	Meets Minimum Qualifications		Candidates Tested		Candidates Passing Exam		List Adoption Date[a]	Candidates Passing Background Check	
7/31/2009	2/2010, 5/2010	2083	615	30%	577	94%	367	64%	6/8/2010	325	89%
6/11/2010	10/2010	1520	610	40%	490	80%	362	74%	11/19/2010	325	90%
2/10/2011	4/2011	2472	1122	45%	886	79%	729	82%	5/24/2011	532	73%
5/25/2012	8/2012	2828	1181	42%	993	84%	816	82%	10/2/2012	--[b]	
	Average	2226	882	39%	737	84%	569	75%	Not applicable	394	84%

Note:
[a] Applicants who pass are eligible candidates are then ranked on the adopted eligible list.
[b] List is still active so not all eligible candidates have tested for background checks.

Source: SFMTA Human Resources Operations unit.

No written agency policies or procedures govern the hiring process.

The hiring process is designed to ensure that only qualified candidates are hired, however, it is not well-documented and well-maintained. HR Operations uses a spreadsheet as a guideline and schedule to conduct its recruitment but does not have any formal policies describing the recruitment and selection process or the staff's assigned roles and responsibilities in the process. A well-designed and properly maintained system of documented policies and procedures enhances both accountability and consistency. Policies and procedures also allow employees to understand their roles and responsibilities. According to the U.S. Government Accountability Office's *Standards for Internal Controls in the Federal Government*, appropriate documentation of internal controls should be in administrative policies or operating manuals, and all documentation should be properly managed and maintained.

Recommendation

15. The San Francisco Municipal Transportation Agency should develop written policies and procedures for its transit operator recruitment and selection process that are in accordance with citywide human resource procedures and state Department of Motor Vehicles requirements.

Finding 3.2

The time needed to recruit transit operator candidates has been reduced by 60 percent, but the introduction of part-time positions increased the number of candidates that must be recruited fivefold.

The transit operator recruitment processing time, from job announcement posting to the adoption of an eligible list, decreased from ten months in 2010 to the current four months, a reduction of six months or 60 percent. According to the HR manager, HR Operations did this by reorganizing staff assignments and assigning dedicated staff to the transit operator exam to shorten the time from announcement dates to exam dates. HR Operations also assigned additional staff to assist with the minimum qualifications review to speed up this process. Other contributing factors include contacting candidates via e-mail instead of U.S. mail and posting job notifications on the agency's website to decrease the job announcement posting duration.

By decreasing the recruitment time by more than half, HR Operations can now retain and select from more interested and qualified candidates. Longer recruitment and selection processes can expose an employer to the risk of losing qualified candidates from accepting other job offers, so promptness is important. The hiring process duration cannot be easily determined because it varies based on the volume and size of the candidate pool, as well as the number of applicants' requiring special accommodations for an exam, but HR Operations should be commended for significantly reducing the time it takes to bring on transit operators.

Exhibit 21 shows the timing of the last four transit operator eligible lists.

EXHIBIT 21 Timing of the Transit Operator Eligible List Process July 2009 to October 2012

List Number	Announcement Date	List Adoption Date	Number of Months Elapsed
56198	7/31/09	6/8/10	10
56478	6/11/10	11/19/10	5
57302	2/10/11	5/24/11	3
58996	5/25/12	10/2/12	4

Source: SFMTA Human Resources Operations unit.

Although they may be advantageous to SFMTA, offers of part-time transit operator positions require more work by HR Operations.

Although the transit operator recruitment time has been decreased, HR Operations reports that it has had to spend additional staff time to select and contact candidates for the last year. As recommended by a 2010 audit,[29] SFMTA began hiring transit operators in 2012 for part-time positions only and transitioning them to full-time status as needed. The job announcement advertises the position as full-time because, according to HR Operations, it cannot convert a part-time position to a full-time position using a part-time job recruitment, especially when the timing of the conversion to full-time is uncertain. Because the job announcement states the position is full-time, applicants are unaware that, if successful, they initially will be employed only part-time. As a result, since 2012, when HR Operations contacts the eligible candidates and offers them part-time openings, more decline the offers than used to, causing HR Operations to have to contact more candidates to fill a new operator training class.

To fill a class of 30 (part-time) trainees, HR Operations reports that it must now send and follow-up on an average of 200 job invitations to candidates, an almost seven-to-one ratio. Previously, for the full-time transit operator positions, HR Operations reports that it had to contact only 45 candidates to fill a class of 30 students, a one-and-a-half-to-one ratio. As a result, the recruitment for part-time operators requires HR Operations staff to contact five times more candidates to fill a class with the same number of transit operators.

HR Operations can make its recruitment of transit operator candidates more efficient by informing them of the positions' part-time status as soon as possible.

The 2010 audit report recommended that the hiring of part-time transit operators might be advantageous to SFMTA. Although an analysis of this process is outside the scope of this audit, CSA concludes that, while HR Operations does not have the authority to choose whether to hire to fill full-time or part-time positions, there may be opportunities within HR Operations' discretion to improve communication with transit operator applicants. For example, HR Operations could advise applicants that the position is part-time when sending invitations to the

[29] San Francisco Board of Supervisors' Budget and Legislative Analyst, *Limited Scope Performance Audit of the San Francisco Municipal Transportation Agency, Part I,* May 11, 2010.

written exam.[30]

If candidates are not interested in a part-time position, they can save time by not taking the test and HR Operations can save time and resources in administering and scoring fewer tests. The adopted eligible list, in turn, will eliminate people who are not interested in part-time positions and HR Operations will not have as many job offers declined.

SFMTA should add to its performance management system (and track results for) performance measures for HR Operations' goals. Without this, it is difficult to assess the unit's overall success.

HR Operations tracks various outputs and the duration of the hiring process, but it lacks a formal performance measurement tool to assess whether it is meeting its goals, which include the following:

- Process, recruit, and hire qualified candidates in an accurate and efficient manner.
- Provide eligible lists for permanent Civil Service recruitments.
- Ensure that hiring meets the needs of programs, projects, and service delivery to customers.

A performance measure is a quantitative indicator of how well a program is fulfilling its mission, goals, or objectives. Performance measures allow an organization or program to evaluate whether its resources are used for maximum benefit, to provide accountability to the public and management, and to track improvement, if any, in the services that the City provides.

The City's Administrative Code, Section 3.5, requires each department's budget to identify "policy outcome measures," which are performance measures, that reflect the mission and goals of the department and that can be used to gauge progress toward attaining these goals. SFMTA has organizational performance measures but it is good business practice for divisions within the department to establish measures to ensure that divisions' efforts are supporting the department's goals.

While the audit determined that HR Operations effectively hired almost all of the qualified transit operators required by the Training unit, as discussed in

[30] HR Operations should consult with the city's Department of Human Resources to ensure doing so does not violate any hiring rules.

Finding 3.1, the audit could not determine whether HR Operations met its goals to ensure that hiring meets the needs of programs, projects, and service delivery provided by its other customers (SFMTA units other than the Training unit). For example, developing a performance measure to quantify the level of customer satisfaction with HR Operations' deliverables would inform the unit on whether its work in this area meets the needs of the rest of the agency. Data for such a performance measure could come from a survey soliciting feedback from HR Operations customers to assess areas in which the unit performed well and areas that need improvement.

Recommendations

The San Francisco Municipal Transportation Agency should:

16. Improve communications with transit operator applicants by notifying candidates as soon as possible that positions in the transit operator classification are part-time.

17. Develop performance measures for its goals to better assess the division's effectiveness, efficiency, and customer satisfaction.

Finding 3.3

The Human Resources, Transit, and Finance divisions must work together to more accurately estimate the number of transit operators needed and to ensure that the number of operators hired yields enough operators to fill all positions needed to deliver planned levels of service.

The HR division reports that it does not know how the full-time equivalent (FTE) transit operator positions in SFMTA's budget are arrived at and, thus, cannot ensure that the available positions are adequate to satisfy the needs of the Transit division. According to HR Operations, in fiscal year 2011-12 SFMTA hired and filled all available transit operator positions. In fiscal year 2012-13, SFMTA had 2,224 budgeted FTE transit operator positions and, as of May 2013, had not filled 58 (3 percent) of them. Nonetheless, even if there were no vacancies, SFMTA still would not have enough transit operators to fulfill its service schedule with the minimum

of overtime because the agency has fewer budgeted transit operator positions than it needs, as discussed in Chapter 1.

HR Operations is tasked with ensuring that transit operator hiring meets the needs of the Transit division. To accomplish this task effectively, HR Operations, together with the Training unit, Transit division, Finance and Information Technology division, and top agency management, must work together to determine the number of positions that must be filled to meet transit service needs and seek the budget to fill those positions.

HR Operations can only hire as many transit operators as there are budgeted, available positions, and should not hire more operators than there will be new operator training slots available shortly after the hiring. Nonetheless, without enough available positions to fill, SFMTA will continue to have fewer operators than it needs to drive the scheduled runs with a minimum of overtime, which contributes to SFMTA not meeting its 85 percent on-time performance measure for transit services.

Recommendation

18. The San Francisco Municipal Transportation Agency's divisions, including the Human Resources, Transit, and Finance and Information Technology divisions, should collaborate to determine the correct number of budgeted transit operator positions that must be filled to deliver the agency's scheduled service to the public.

APPENDIX: DEPARTMENT RESPONSE

SFMTA
Municipal Transportation Agency

August 29, 2013

Tonia Lediju
Audit Director
Office of the Controller, City Services Auditor Division
1 Dr. Carlton B. Goodlett Place, Room 476
San Francisco, CA 94102

Subject: Performance Audit: San Francisco Municipal Transportation Agency: Improved Staffing Planning and Training Are Needed to Meet SFMTA's Need for Transit Operators

Dear Ms. Lediju:

Enclosed for your review are the SFMTA's responses to the above-named audit conducted by the City Services Auditor Division of the Office of the Controller. We appreciate the time and effort of your staff in conducting this assessment.

If you have any questions or require further information, please call me at 701.4720 or Kathleen Sakelaris at 701.4339.

Sincerely,

Edward D. Reiskin
Director of Transportation

Enclosure

Edwin M. Lee
Mayor
Tom Nolan
Chairman
Cheryl Brinkman
Vice-Chairman
Malcolm Heinicke
Director
Jerry Lee
Director
Joél Ramos
Director
Cristina Rubke
Director
Edward D. Reiskin
Director of Transportation

One South Van Ness Ave.
Seventh Floor
San Francisco, CA 94103
Tele: 415.701.4500
www.sfmta.com

For each recommendation, the responsible agency should indicate whether it concurs, does not concur, or partially concurs. If it concurs with the recommendation, it should indicate the expected implementation date and implementation plan. If the responsible agency does not concur or partially concurs, it should provide an explanation and an alternate plan of action to address the identified issue.

RECOMMENDATIONS AND RESPONSES

Recommendation	Response
The San Francisco Municipal Transportation Agency (SFMTA) should:	
1. Base its budget for transit operator positions on an integrated, data-driven staffing analysis.	Partially concur. SFMTA agrees that a more comprehensive staffing analysis is needed to provide better budget guidance. The implementation of budgeting for the required transit operator positions to support service levels and staffing analysis requirements is subject to availability of adequate operating funds as well as tradeoff decisions related to these funds. When adequate operating funds are available to budget fully for SFMTA operating needs, address the Agency's structural deficit and/or tradeoff policy decisions are made for these funds, transit operator positions can be fully budgeted. Implementation: Next budget cycle if funding is available – July 2014

Recommendation	Response
2. Through its Finance and Information Technology division coordinate efforts to perform an integrated transit operator staffing analysis that: • Uses a relief factor based on agency data. • Accounts for attrition. • Anticipates increased staffing requirements from approved service expansions.	Partially Concur. The SFMTA agrees that an integrated transit operator staffing analysis that uses a relief factor based on agency data, accounts for attrition and anticipates increased staffing requirements from approved service expansions should be conducted, but it should be come through Transit with input from HR, not through FIT. FIT, post the staffing analysis will be responsible for the Budgeting process (Recommendation #1). Transit and HR will perform a staffing analysis, potentially using outside contracted services, to inform the FY14/15 budget for Transit Operators. Completion – 2/2014.
3. Through its Finance and Information Technology division periodically review transit operator attrition, leave, and training usage rates and update its staffing analysis accordingly.	Concur. Upon completion of Recommendation #2, staff will review on a quarterly basis transit operator attrition, leave, and training usage rates and update its staffing analysis accordingly. Implementation: Pending Recommendation #2 completion
4. Define the specific qualifications desired for the Training unit's instructors and work with the Department of Human Resources to establish a higher base pay or a premium pay to attract interest in the instructor assignment from more qualified transit supervisors.	Partially concur. SFMTA HR is currently in the process of working on a scope to be included in the RFP for job analysis and classification review that will help develop specific qualifications for transit operator instructors. (Completion: 2/2014) This class is SFMTA specific so salary determination rest with SFMTA. From a HR perspective base pay or premium pay increases will attract more interest in the position, but not necessarily more qualified candidates. Pursuing recommendation #5, creating a separate job class, should have more impact on improving the quality of the candidates and training instructors.

Recommendation	Response
5. As an alternative to Recommendation 4, work with the Department of Human Resources to create a transit operator instructor job classification that is separate from the Transit Supervisor classification.	Concur. SFMTA HR is currently in the process of working on the scope to be included in the RFP for the job analysis and classification review that would be needed to create an instructor class that is separate from the rest of the Transit Supervisor class. Completion 2/2014.
6. Fill vacant instructor positions in the Training unit so new operator training classes can occur more frequently, preferably allowing two such classes to occur simultaneously so that vacant transit operator positions are filled more rapidly.	Concur. Current Training Instructor vacancies will be filled in October through a contractually required bid process. With the additional coaches (#7) and training site (#8) the Training unit will have the ability to run classes simultaneously to increase the pace of hiring transit operators.
7. Determine the number and type of motor coaches needed by the Training unit and continue to provide the unit with more dedicated motor coaches until it has enough.	Concur. SFMTA is endeavoring to increase motor coach supply to Training Department within service constraints. With the next budget cycle, we will assess the feasibility of dedicating a Training fleet within service demands. Implementation: Feasibility to be determined by July 2014
8. Locate and, if necessary, lease a location suitable for transit operator training programs that can be reliably scheduled to meet the needs of the Training unit.	Concur. SFMTA has evaluated several sites for transit operator training needs across the City and Training has been provided a list of these sites for their evaluation. Out of approximately 12 potential sites, the options have been narrowed to two sites, one owned by the Port and one owned by a private entity. Depending on Real estate's and Training's feedback and funds availability one of these two sites will be selected and either a MOU or lease will need to be negotiated. It will take a year for negotiations.
9. Improve collaboration between the Transit and Human Resources divisions with the goal of increasing the efficiency and effectiveness of the agency's transit operator training programs.	Concur. There will be increased efficiency and effectiveness with the planned increase of dedicated buses from transit for operator training and a dedicated leased location (Recommendation #8). The assigning of dedicated buses has already begun and will continue as Transit new bus coaches arrive over the next year.

Recommendation	Response
10. Implement procedures to more effectively monitor the line training phase of the new operator training program to ensure that line instructors are instructing new operators in accordance with the program's policies and procedures.	Concur. Division Superintendents will randomly monitor line instructors who have new operators in training by reviewing audio and video of the actual training. Implementation – October 2013.
11. Restructure the line training evaluation process so that both line training instructors and trainees evaluate each other without them seeing the other's evaluations.	Concur. Already implemented. Went into effective 8/1/2013.
12. Remind or retrain new operator instructors and line instructors to spend more time teaching and reinforcing the division's routes and providing more practice on programming signs and fare boxes and learning the fare structure during the road and line training phases.	Partially concur. The New Operator Training has been enhanced to do a thorough job of practicing and programming signs and fare boxes. This function belongs primarily with the Training Instructors and not the Line Trainers. We have ensured that this information is covered in sufficient detail and will completely re-write the training material. Implemented by the end of 12/2014.
13. Evaluate whether the Training unit's lead instructors could present the *Violence in the Workplace* and *Injury and Illness Prevention Program* presentations in the event the presenter does not appear for the training so that no time is lost and trainees receive all training materials. Further, the Training unit's team leaders should follow up with presenters and remind them of presentation dates.	Partially concur. The *Violence in the Workplace* and *Injury and Illness Prevention Program* training will remain with Industrial and Environmental Safety. Safety will have 3 additional safety analysts trained and certified to provide the training by the end of FY13/14. The additional staff resources should eliminate any missed training time. Training already has a notification and diary process to ensure Safety will receive notice of the dates for the presentation.

Recommendation	Response
14. Once the Training unit receives sufficient instructors and motor coaches and has use of a reliably available training location, the San Francisco Municipal Transportation Agency should develop a behind-the-wheel training component and add it to its Verification of Transit Training course. One of the component's objectives should be to more effectively address worker safety and prevent workplace injuries among experienced transit operators.	Partially Concur. Once all the necessary resources are provided the Training Department will institute a "Behind The Wheel" segment to the mandated in-service training per CA ED Code 40085.5. The in-service program will also provide "worker safety" and "injury prevention" consistent with a System Safety approach. Programs designed to cover "worker safety and workplace injury prevention that are governed by CalOSHA cannot be conducted in the Verification of Transit Training setting. Currently the SFMTA conducts Illness and Injury Prevention Program training to Operators during New Operator Training. This training is conducted by the Industrial & Environmental Safety Unit of Human Resources.
15. Develop written policies and procedures for its transit operator recruitment and selection process that are in accordance with citywide human resource procedures and state Department of Motor Vehicles requirements.	Concur. Business process flows and compliance check list already exist and HR is currently in the process of documenting step-by-step procedures for both transit operator examinations and on-boarding process which will be loaded into HR's internal on-line Wiki-site. Completion by 10/2013.
16. Improve communications with transit operator applicants by notifying candidates as soon as possible that positions in the transit operator classification are part-time.	Concur. However, the current eligible lists were created off full-time announcements. We have over 700 candidates still waiting on the eligible list. Currently, we are notifying the candidates on the full-time eligible list of the part-time opportunity more than two months before the start of the training class. The next exam announcement will include provisions for both FULL and PART time appointments. For candidates, an overall summary of the necessary steps to become a Transit Operator can be found on our website. The steps do not differentiate between full and part-time since the steps are the same: http://www.sfmta.com/about-sfmta/careers/become-muni-driver

Recommendation	Response
17. Develop performance measures for its goals to better assess the division's effectiveness, efficiency, and customer satisfaction.	Concur. HR Operations currently tracks duration of the hiring process and outputs for recruitment, testing, and hiring sans performance goals. HR Operations will work with its service clients to establish goals and performance measurement tools/methodology to track and access goal achievement. Completion 1/2014.
18. The San Francisco Municipal Transportation Agency's divisions, including the Human Resources, Transit, and Finance and Information Technology divisions, should collaborate to determine the correct number of budgeted transit operator positions that must be filled to deliver the agency's scheduled service to the public.	Concur. Once the staffing analysis from Recommendation #2 is completed, SFMTA will be able to determine the correct number of budgeted transit operator positions that must be filled.